UNIVERSITY OF MASSACHUSETTS
COMMITTEE/BOARD MINUTES 1999

ACADEMIC and STUDENT AFFAIRS & ATHLETICS

1. January 28, 1999 1 Beacon St, UMASS Boston
2. April 29, 1999 1 Beacon St, UMASS Boston
3. July 29, 1999 UMASS Boston
4. October 28, 1999 UMASS Boston

ADMINISTRATION and FINANCE & AUDIT

1. January 27, 1999 1 Beacon St, Boston, MA
2. April 28, 1999 1 Beacon St, Boston, MA
3. July 12, 1999 1 Beacon St, Boston, MA
4. July 28, 1999 1 Beacon St, Boston, MA
5. October 27, 1999 1 Beacon St, Boston, MA

BOARD OF TRUSTEES

1. February 3, 1999 UMASS Lowell
2. May 5, 1999 UMASS Dartmouth
3. August 4, 1999 UMASS Boston
4. November 10, 1999 UMASS Amherst

COMMITTEE OF THE WHOLE

1. February 3, 1999 UMASS Lowell
2. May 4, 1999 UMASS Dartmouth
3. August 4, 1999 UMASS Boston
4. November 9, 1999 UMASS Amherst

TRUSTEE GOVERNANCE

1. May 28, 1999 Marriott Hotel, Newton MA
2. June 14, 1999 Offices of Foley, Hoag, & Eliot, Boston, MA

AUXILIARY SERVICES

1. June 3, 1999 Hoagland-Pincus Conference Center, Shrewsbury, MA
2. June 30, 1999 Hoagland-Pincus Conference Center, Shrewsbury, MA
3. October 7, 1999 1 Beacon St, Boston, MA
4. October 27, 1999 1 Beacon St, Boston, MA

INTELLIGENT AUTONOMY

1. September 22, 1999 1 Beacon St, Boston, MA

UNIVERSITY STAFFING

2. October 13, 1999 1 Beacon St, Boston, MA

UNIVERSITY OF MASSACHUSETTS
COMMITTEE/BOARD MEETINGS
1999 MINUTES

AD HOC COMMITTEE ON AUXILIARY SERVICES

AD HOC COMMITTEE ON INTELLIGENT AUTONOMY

AD HOC COMMITTEE ON UNIVERSITY STAFFING

ADMINISTRATIVE REDESIGN COMMITTEE

BOARD OF TRUSTEES

COMMITTEE ON ACADEMIC AFFAIRS, STUDENT AFFAIRS AND ATHLETICS

COMMITTEE ON ADMINISTRATION, FINANCE AND AUDIT

COMMITTEE OF THE WHOLE

DEVELOPMENT COMMITTEE

TRUSTEE GOVERNANCE COMMITTEE

UNIVERSITY OF MASSACHUSETTS

AMHERST • BOSTON • DARTMOUTH • LOWELL • WORCESTER

MINUTES OF THE MEETING OF THE COMMITTEE ON ACADEMIC AFFAIRS, STUDENT AFFAIRS AND ATHLETICS

Thursday, January 28, 1999; 8:00 a.m.
Board Room
One Beacon Street - 26th Floor
University of Massachusetts
Boston, Massachusetts

Committee Members Present: Chair Bissonnette, Vice Chair Bogan; Trustees Court, Foley, Giblin, Karam, Lewenberg, and Osterhaus

Committee Members Absent: Trustees Dolan, Flores, Molnar and Tremblay

University Administration: President Bulger; General Counsel O'Malley; Vice Presidents Botman and Chmura; Ms. Layton, Associate Vice President; Ms. Harrington, Senior Associate; Ms. Armstrong, Director of Institutional Research; Chancellors Scott, Hogan and Lazare; Provosts Marrett, Lyons, Taggie and Wagner; Ms. Teehan, Associate Chancellor for Enrollment Services; Dr. Chlapowski, Assistant to the Vice Chancellor

Faculty Representatives: Professor Disch, UMASS Boston, Professor Leclair, UMASS Dartmouth

Chair Bissonnette convened the meeting at 8:10 a.m. and introduced the first item on the agenda, **Consideration of Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the minutes of the November 17, 1998 meeting of the Committee.

President Bulger began the meeting by announcing today's presentations and reporting on several good news stories. A survey of the alumni between 1960 and 1995 administered over the telephone to 1900 alumni, has been completed and will be presented at next week's meeting of the Committee of the Whole. He was happy to report that the results of the survey were very positive.

President Bulger acknowledged the work of the University's faculty members who have provided significant contributions to our students and the people of the Commonwealth. President Bulger thanked them for their dedication to teaching. Chair Karam and the President will again be honoring selected members of the faculty at the next public service awards presentation.

President Bulger was pleased to report that Professor Robert Waxler from the Dartmouth campus has finished editing a volume called Changing Lives Through Literature which will be published this spring.

President Bulger also reported that Peter Kiang from the Boston campus has been awarded the Ernest Lynton Award for Faculty Professional Service and Academic Outreach by the New England Resource Center for Higher Education. He also recognized James Watkins from the Amherst campus who has been awarded a five-year $625,000 Packard Fellowship for his research on nanodevices which increase the speed of computers.

President Bulger expressed his gratitude for the increase in funding proposed by the Legislature and the Governor.

Chair Bissonnette reported that issues surrounding Athletics will become an important item for this Committee to focus on. Two new members have joined this Committee, Trustee Lewenberg and Vice Chair Bogan. Vice Chair Bogan expressed pleasure with the merging of Athletics with the Academic and Student Affairs Committee.

Trustee Lewenberg reiterated Trustee Bogan's comments and noted that athletic life filters into each aspect of academic life. The student athlete's life is far more difficult than that of other students in terms of schedule and expectations and presents a greater challenge; this Committee can address many of the issues that athletic directors are faced with.

Vice Chair Bogan inquired to arrangements being made to honor the UMASS Amherst football team for their success; President Bulger informed the Committee that plans for such an event are being made.

Chair Bissonnette announced that campus athletic directors would be invited to attend these meetings in the future.

President Bulger informed the Committee that Chancellor Cressy was absent today due to the death of his father. He then announced that Vice President Botman has had a book published on the lives of Egyptian women.

Vice President Botman thanked the Chair for embracing athletics; she then announced that the University will be hosting a Marine Science Conference at the State House on March 9th. She also reported on the upcoming negotiations involving post-tenure review.

Vice President Botman reported on the third section of the Performance Measurement System, "Academic Quality Assessment and Development". The campuses have submitted their procedures for implementing this policy and these are currently being reviewed. She commended the campuses for working very hard toward these goals.

The next item for discussion was **Admissions/Enrollment Targets and Goals For Fall, 1999**.

Ms. Teehan, UMASS Boston, Chancellor Hogan, Provost Taggie, Chancellor Scott and Dr. Chlapowski, UMASS Worcester then gave campus reports.

Some of the highlights from the Boston campus regarding enrollment challenges and goals included recruiting freshmen, improving facilities and retention.

Chancellor Hogan's report included an admissions goal of stabilizing enrollment at constant optimum size over the long term. Lowell's enrollment is now at 7000 FTE day students and 1200 FTE Evening/Continuing Education students.

Some of the constraints on admissions include compliance with the Board of Higher Education's cap on special admissions, which can not exceed 10% for fall, 1999. In the fall of 1998 Lowell enrolled 6% which was in the papers as 18%. Chancellor Hogan expressed his gratitude to the President and Vice President Botman for their help obtaining a retraction on this.

Provost Taggie reported that the campus' targeted recruitment activity and spreading reputation will continue the current growth trend. The lack of on-campus residence space continues to be a major issue. Applications are ahead 10% from last year. The overall enrollment goal is to maintain a constant total Day enrollment equal to the present, which is the maximum enrollment that can be reasonably accommodated by the present general physical plant size.

Trustee Lewenberg recognized the need to increase minority enrollment numbers for all of the campuses while maintaining the goal to improve SAT scores.

Chancellor Scott reported on the Amherst campus' three enrollment challenges: quality and the undergraduate experience, public perception and yield enhancement. Expectations by students and parents have increased in the areas of class size and access to classes, advising, faculty contracts, curriculum and facilities.

Dr. Chlapowski from the Worcester campus reported that the number of applications has dropped due to national trends. Just about all pre-med students in Massachusetts apply to the Medical School. The quality of student has risen each year. The Medical School has made a commitment to become one of the premier schools in terms of medical research.

The next item was **College Students Today**. Ms. Harrington's presentation included information about how the lives of today's students are different from those of students 20-30 years ago. Today's students lead very complicated lives - in addition to attending college, students today work full or part-time, and many have families while attending college. Some of the highlights included:

•Nationwide, more women and more students of color are attending college;
•Nationwide, college students are older;
•Nationwide, many undergraduates attend college part-time.

Ms. Harrington also reported on the statistics involving UMASS students:

•Most part-time students at UMASS are older;
•The majority of UMASS students do not live on campus;
•Most UMASS students are in the first generation to attend;
•UMASS students are working more hours in off-campus employment.

There was a discussion about the top reasons why student attends college today - the most important reason being the desire to obtain a better job. Provost Marrett noted that students today are very interested in providing community services. Another difference is increasing interest in electronic access, computers, the Internet, etc.

Chair Bissonnette then announced the Committee would enter **Executive Session** to consider an **Award of Tenure, UMASS Worcester**. She indicated that the Committee would not reconvene in open session.

It was moved, seconded and

VOTED: To enter into Executive Session for the purpose of considering an Award of Tenure, UMASS Worcester.

Trustees Bogan, Foley, Giblin, Karam and Lewenberg voted for the motion as did Chair Bissonnette. The time was 10:05 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARTMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE COMMITTEE ON ACADEMIC AFFAIRS, STUDENT AFFAIRS AND ATHLETICS

Thursday, April 29, 1999; 8:00 a.m.
Board Room
One Beacon Street - 26th Floor
University of Massachusetts
Boston, Massachusetts

Committee Members Present: Chair Bissonnette, Vice Chair Bogan; Trustees Court, Giblin, Karam, Molnar, Osterhaus and White

Other Trustees: Trustee McCarthy

Committee Members Absent: Trustees Dolan, Flores, Foley, Lewenberg and Tremblay

University Administration: President Bulger; General Counsel O'Malley; Vice President Botman; Ms. Layton, Associate Vice President; Ms. Griesemer, Executive Director, Donahue Institute; Chancellors Hogan and Lazare; Provosts Marrett, Lyons, Taggie and Wagner; Dr. Chlapowski, Assistant to the Chancellor; Athletic Directors Marcum, Titus, Mullen and Skinner; Interim Vice Chancellor Cevallos, UMASS Amherst

Faculty Representatives: Professor Disch, UMASS Boston, Professor Leclair, UMASS Dartmouth, Professor Phelan, UMASS Lowell

Chair Bissonnette convened the meeting at 8:05 a.m. and welcomed the newest members of the Board: Trustee Karl E. White and Robert B. McCarthy.

President Bulger welcomed Trustees White and McCarthy to the Board and to the meeting today and updated the Committee on recent University activities. Almost 350 of the first and second-ranked students at Massachusetts high schools were nominated by their principals for the University Scholars Program. This is an increase from 323 last year and 223 the year before.

President Bulger also reported that 650 freshmen are expected to enroll in the Amherst campus Commonwealth College program.

Chair Bissonnette introduced the first item on the agenda, **Consideration of Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the minutes of the January 28, 1999 meeting of the Committee.

The next item was **Code of Student Conduct, UMASS Amherst**. Interim Vice Chancellor for Student Affairs Cevallos reported that the revisions are minor and intended to clarify language or current practice.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To approve the revisions to the Code of Student Conduct for the Amherst campus contained in Doc. T94-059, as amended.

The next item was **Waiver of Sabbatical Leave Return Obligation, UMASS Boston (3)**. Provost Lyons reported that each case justified the request.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To waive the sabbatical leave return obligation of Joan Ecklein, Professor at the General Center of the College of Public and Community Service at the University of Massachusetts Boston.

And,

To waive the sabbatical leave return obligation of Louis Esposito, Professor, Economics Department at the University of Massachusetts Boston.

And further,

To waive the sabbatical leave return obligation of Paul Brown, Professor, Economics Department at the University of Massachusetts Boston.
(Doc. T99-024)

The next item was **Appointment to the Haidak Chair, UMASS Worcester**. Dr. Chlapowski reported that William C. Meyers, Chair of Surgery will succeed Brownell Wheller who has retired from the University. Dr. Meyers is an internationally known surgeon. His focus on academic medicine and the need for combining state-of-the-art medicine with state-of-the-art research is crucial to the Medical School's goal of achieving national distinction.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To concur with the President in the appointment of William C. Meyers to the Haidak Chair at the University of Massachusetts Worcester. (Doc. T99-044)

The next item for discussion was **Athletic Activities Update**. Each Athletic Director was asked to present an overview of campus-related activities. Mr. Marcum from the Amherst campus compared UMASS Amherst with Atlantic 10 Conference schools based on enrollment, degree programs, number of faculty, tuition, endowment, AAU land grant and research status and existence of medical and law schools.

Mr. Marcum continued his report by noting that the Amherst campus was one of sixteen Division One institutions in the country that was compliant with Title IX. He also pointed out that the campus provides excellent academic enhancement services headed by Michael Jenkins.

Vice Chair Bogan requested information on the status of Garber Field. Mr. Marcum reported that Physical Plant is looking into this matter; a mistake was made by the astro-turf company with the contractors. The field is damaged and is being worked on.

Mr. Marcum reported on the issue of going from Division I Double A to Division I A in Football. The Amherst campus will continue to explore all avenues.

Mr. Skinner from the Lowell campus reported on the ways the Lowell campus supports student-athletes: providing aid to freshmen with the transition from high school to college and achieving balance with the student athlete schedule. The campus belongs to the NCAA Life Skills program which is designed to assist each student-athlete achieve success in all aspects of college life.

Mr. Skinner reported on the campus' compliance with Title IX; compliance with Title IX funding allocations will be achieved by July 1, 1999. Full compliance will be achieved once allocations become actual expenditures, and all facility projects are completed.

Mr. Skinner reported on the campus conference status. UMASS Lowell is a Division II institution that sponsors Division I ice hockey for men. In the absence of an invitation to join the Northeast 10, the University should reclassify all programs to Division I as an independent institution until a suitable conference opportunity becomes available.

Mr. Titus from the Boston campus first reported on the campus' goal to provide community services through athletics to over a half million individuals over the last year. A list of the community service programs was included in the report distributed at the meeting.

With regard to conference affiliations, the Boston campus has several positive factors that help with their ability to successfully compete at the Division III level. On the negative side is the commuter population which limits the terms of scheduling practice times as well as road games and starting times, as well as the lack of outdoor facilities for the sports of football and baseball. The indoor athletic facilities are of high quality, but do not have enough space, the campus also needs more full-time coaches.

Mr. Titus also reported on Title IX Compliance; the campus is in compliance and continuing to improve the women's sports community on a daily basis.

Mr. Mullen from the Dartmouth campus reported that there is a four-year plan to assure full compliance with Title IX but the campus expects to reach the goal sooner. The Dartmouth campus is hiring a female administrator who will represent gender issues. As far as the academic support system on campus, 20% of student athletes are either on the Chancellor's or Dean's list. There is a mandatory study hall for all freshmen.

There is also a student athletic advisory board made up of two representatives from each of the 25 sports that help student athletes with any concerns they may encounter.

Mr. Mullen distributed a student athlete exit questionnaire that gives the campus a better idea on students' experience in academic and athletics.

There was also a brief discussion on the campuses losing student athletes to the higher admission standards which Chair Karam pointed out, the Board members had approved.

Mr. Titus announced the annual golf tournament scheduled for June 17, which raises money for the community in Boston.

Vice President Botman briefed the Committee on the current scope and status of the next item, **Proposed Graduate School of Marine Sciences and Technologies**. Since 1998, an intercampus working group has been actively engaged in planning for a multi-campus school which will eventually require the approval of the Board. There will be more updates in the future as the working group moves forward. Chair Bissonnette recognized the importance of such an undertaking and a good example of campus-wide collaboration. Trustee Giblin also voiced his support for the project.

The next item was **University Center for Professional Education**. Ms. Griesemer reported on the University's efforts to provide citizens along the I-495 high tech corridor with a Center that will offer selected multi-campus degrees, certificates, courses and other educational programs.

Chair Bissonnette then announced the Committee would enter **Executive Session** to consider **Awards of Tenure, UMASS Amherst, UMASS Boston** and an **Appointment with Tenure, UMASS Boston**. She indicated that the Committee would not reconvene in open session.

It was moved, seconded and

VOTED: To enter into Executive Session for the purpose of considering **Awards of Tenure, UMASS Amherst, UMASS Boston** and an **Appointment with Tenure, UMASS Boston**.

Trustees Bogan, Giblin, Karam, Molnar, and White voted for the motion as did Chair Bissonnette. The time was 9:55 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARTMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE COMMITTEE ON ACADEMIC AFFAIRS, STUDENT AFFAIRS AND ATHLETICS

Thursday, July 29, 1999; 8:00 a.m.
Board Room
One Beacon Street - 26th Floor
University of Massachusetts
Boston, Massachusetts

Committee Members Present: Chair Bissonnette, Vice Chair Bogan; Trustees Avakian, Carey, Giblin, Karam, Lewenberg, Rogers and White

Committee Members Absent: Trustees Agganis, Flores and Foley

Other Trustees: Trustee McCarthy

University Administration: President Bulger; General Counsel O'Malley; Vice President Botman; Ms. Layton, Associate Vice President; Ms. Armstrong, Director of Institutional Research; Chancellors Scott, Penney and Hogan; Provosts Marrett, Cnudde, Curry and Wagner; Dr. Chlapowski, Assistant to the Chancellor; Mr. Skinner, Athletic Director, UMASS Lowell; Interim Vice Chancellor Cevallos, UMASS Amherst; Professor John Jenkins, UMASS Amherst, Professor John Warner, UMASS Boston, Professor Janet Gardiner, UMASS Dartmouth and Dean Nancy Kleniewski, UMASS Lowell

Faculty Representatives: Professor O'Connor, UMASS Amherst, Professor Langley, UMASS Dartmouth, Professor Carter, UMASS Lowell

Chair Bissonnette convened the meeting at 8:07 a.m. and introduced the first item on the agenda, **Consideration of Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the minutes of the April 29, 1999 meeting of the Committee.

Chair Bissonnette welcomed the newest members of the Committee: Trustees Seth Avakian, Madeleine Carey and Edwin Rogers and called on President Bulger for his report.

President Bulger welcomed Thomas Curry, Provost from the Dartmouth campus and Charles Cnudde, Provost from the Boston campus. He also welcomed James Hamos from the Medical School; Mr. Hamos will be assisting the Academic Affairs Department with K-12 technology and outreach issues.

President Bulger expressed his pleasure with the collaboration between the University and the State Department of Education on training for the Massachusetts Bonus Recipients, highly qualified teachers who have agreed to teach in urban schools and academic areas of high need. These teachers are coming from all across the country and are teaching summer school classes in the mornings and receiving educational seminars in the afternoon. These seminars are designed and delivered by University faculty.

President Bulger thanks Chancellor Hogan and Dean Pierson for their extraordinary support for this project.

The next item was **Appointments as Distinguished Professor, UMASS Amherst, UMASS Boston**. Provost Marrett reported on Dr. Derek R. Lovley's distinguished career; he is responsible for the development of an entirely new area of research in microbiology. His research has received both national and international recognition.

Chancellor Penney reported on Professor Richard A. Horsley who has produced an impressive body of scholarship that has established him as a major international authority in the field of biblical studies. Professor Horsley has written many acclaimed books including the award-winning Bandits, Prophets and Messiahs.

Vice President Botman was asked to speak about Distinguished Professorships which were developed as a way to recognize extraordinary achievements within the faculty. The campuses use this award very sparingly to honor someone who is truly exceptional.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To concur with the President in the appointment of Derek R. Lovley as Distinguished Professor at the University of Massachusetts Amherst.

And further,

To concur with the President in the appointment of Richard A. Horsley as Distinguished Professor of Liberal Arts and the Study of Religion at the University of Massachusetts Boston.

The next item was **Appointment to the Paul Hayes Tucker Distinguished Professorship in Art, UMASS Boston**. Chancellor Penney reported that two women from the Boston area have donated money to establish a named chair in the Art Department. Professor Tucker will be the first recipient of the chair. Professor Tucker is an international scholar, with particular expertise on the work of Claude Monet.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To concur with the President in the appointment of Paul Hayes Tucker to the Paul Hayes Tucker Distinguished Professorship in Art at the University of Massachusetts Boston.

The next item was the reauthorization of the **Alcoholic Beverages Policy**. Vice President Botman reported that in 1998 the Higher Education Act allowed institutions to notify parents when students violate alcohol or substance abuse policies. The Committee is asked to vote in favor of this prevention; research suggests student drinking declines when parents are notified. Vice President Botman reported that there have been many discussions with student personnel on all the campuses and with the Chancellors about this issue and we are in agreement that permissive parental notification will help strengthen the already existing alcohol policy.

Trustee Avakian asked the Committee to consider that the University continue to support the educational approach to alcohol use. Violating the alcohol policy should be handled through an educational experience rather than a punishing experience. Students on the Amherst campus do not support this amendment.

Members of the Committee discussed how to implement the amendment to the policy and the legal ramifications. It was suggested that the action be amended to include the controlled substance policy and that the policy amendment be discussed further before coming back to the Board and will include input from students before final implementation.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> Each Chancellor is directed to submit for Board approval a proposed amendment to the respective campus alcohol and drug policy providing for permissive notification of parents or legal guardians of students under twenty-one years of age who have been determined to be in violation of the campus alcohol or controlled substance policy.

The next item was **Establishment of a School of Marine Science and Technology, UMASS Dartmouth**. Provost Curry from the Dartmouth campus reported that the establishment of this school will be linked to the intercampus graduate program plan. The School will hire faculty on tenure or tenure track lines and will develop joint masters and doctoral programs in collaboration with other campuses on the University.

Provost Marrett had questions about the intercampus group being involved in the overall planning of this school. Provost Curry answered that several issues still need to be worked out and it is expected that six or seven months are needed to finalize the structure.

Trustee Giblin voiced his support for the project which will help focus on issues of economic and regional development.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To authorize the establishment of a School of Marine Science and Technology at the University of Massachusetts Dartmouth effective February 1, 2000. This School shall be linked to the intercampus graduate program in Marine Sciences and Technologies once established upon the recommendation of the intercampus Working Group on Marine Sciences and Technology. This School will have the right to recruit and hire faculty on tenure or tenure track lines and to recommend the award of tenure to those who are eligible. The administrative head of this unit will report to the campus Provost. The School will develop joint masters and doctoral programs in collaboration with other campuses of the University through the intercampus graduate program in Marine Sciences and Technologies and function in close collaboration with the intercampus program. The administration is authorized and directed immediately to take all necessary steps to establish the School consistent with any collective bargaining agreements or obligations that may apply.

The next item for discussion was **General Education Update**. Vice President Botman reported that faculty and administrators from each of the campuses have undertaken general education reform. Vice President Botman commended the faculty for their hard work and extended a special note of gratitude to the directors of the general educational task forces and thanked the Provosts and Deans for their support. Dr. Botman then introduced Professor John Jenkins, UMASS Amherst, Professor John Warner, UMASS Boston, Professor Janet Gardiner, UMASS Dartmouth and Dean Nancy Kleniewski, UMASS Lowell, campus representatives to discuss this topic.

Each representative gave a report on general education status on their respective campus; it was agreed general education is absolutely essential in the view of many major educators. There was discussion about science and computer education, learning outcomes and the introduction of learning communities and residential communities on the campuses.

Following the campus reports the Committee members had several observations including the need to improve verbal and writing skills.

The next item was **Merit Scholars Report**. Ms. Armstrong, Director of Institutional Research, gave a presentation on qualifying criteria for each scholarship, the number of students receiving the scholarships, and monies spent by the campuses for new and continuing students. Some of the highlights included:

- Appoximately $5.9 million in merit scholarship aid was awarded to 479 new students
- Of total institutional financial aid ($27.3 million) 22% is awarded as merit scholarships
- System-wide scholarships (University Scholars and Commonwealth Scholars) account for approximately $2 million or 35% of merit-based scholarships.

It was noted that the quality of students has improved due to merit scholarships and that the University should keep up the good work.

The next item was **Division II Northeast 10 Conference Membership, UMASS Lowell**. Mr. Skinner, Athletic Director from the Lowell campus reported that the Northeast 10 Conference presidents voted on June 21 to extend an invitation to the Lowell campus for full membership effective 2001. The campus has officially accepted this invitation and has agreed to all of the conditions. There are many benefits of joining the Division II Conference - improvement of recruiting efforts, all schools are located close to Lowell thereby cutting down on travel expenses and the enhancement of the University's image by competing against appropriate schools.

Chancellor Hogan thanked Mr. Skinner for the work that was involved in joining this Conference Membership.

Chair Bissonnette then announced the Committee would enter **Executive Session** to consider **Transfer of Tenure, UMASS Amherst, Appointments with Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth** and **Awards of Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth, UMASS Lowell, UMASS Worcester**. She indicated that the Committee would not reconvene in open session.

It was moved, seconded and

Committee on Academic Affairs, Student Affairs and Athletics
July 29, 1999

VOTED: To enter into Executive Session for the purpose of considering Transfer of Tenure, UMASS Amherst, Appointments with Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth and Awards of Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth, UMASS Lowell, UMASS Worcester.

Trustees Bogan, Carey, Giblin, Karam, Lewenberg and White voted for the motion as did Chair Bissonnette. The time was 9:50 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARTMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE COMMITTEE ON ACADEMIC AFFAIRS, STUDENT AFFAIRS AND ATHLETICS

Thursday, October 28, 1999; 8:00 a.m.
Knapp Room
One Beacon Street - 26th Floor
University of Massachusetts
Boston, Massachusetts

Committee Members Present: Chair Bissonnette, Vice Chairs Lewenberg and White, Trustees Avakian, Bogan, Carey, Duquette, Flores, Karam and Rogers

Other Trustees: Trustees Fey and MacDonald

Committee Members Absent: Trustees Agganis, Foley and Giblin,

University Administration: President Bulger; General Counsel O'Malley; Vice President Botman; Ms. Layton, Associate Vice President; Ms. Griesemer, Executive Director, Donahue Institute; Chancellors Hogan, Lazare and MacCormack; Provosts Marrett, Cnudde, Curry and Wagner; Vice Chancellor Scheid, UMASS Worcester; Vice Chancellor Hackney, UMASS Dartmouth, Professor Ferro, UMASS Amherst, Professor Schutt, UMASS Boston, Dean LaLiberte, UMASS Dartmouth

Faculty Representatives: Professor Disch, UMASS Boston; Professor Langley, UMASS Dartmouth

Chair Bissonnette convened the meeting at 8:07 a.m.

The first item on the agenda was **Consideration of Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the minutes of the July 29, 1999 meeting of the Committee.

President Bulger began his report by introducing the newest member of the Board, Mr. Bradley Duquette, a student at the Lowell campus.

Committee on Academic Affairs, Student Affairs and Athletics
October 28, 1999

President Bulger reported that the University is continuing to attract students across the Commonwealth: there has been a double-digit increase in fall freshmen applications, transfer applications are up 20% for the system and SAT scores and GPA's continue to climb.

Recently two students from the Boston campus won two of eight awards in a competition sponsored by the National Oceanic and Atmospheric Administration (NOAA) for their work on maintaining ocean resources. Joseph Goldstein, Dean of the College of Engineering at UMASS Amherst, has been selected to receive the Henry Clifton Sorby Award of the International Metallographic Society in recognition of lifetime achievement in the field of metallurgy.

Chair Bissonnette reported that she and the Vice Chairs of the Committee had recently discussed ways to use information provided by the Administration to this Committee, to address issues facing the University.

Vice President Botman updated the Committee with recent developments: the Raytheon/UMASS collaborative which has created a pipeline with the goal of increasing the quantity and quality of students, particularly women and minorities, in the engineering field; the intercampus graduate marine science program is moving ahead – the final proposal has been sent to the campus senates and faculty have recently been asked for their input. The final proposal is expected to come to the Board in February. The Board of Higher Education undertook a review of Computer Science and Information Technology Programs. The review focussed on several areas, and recommended that the curriculum be updated based on the changes taking place in the computer science industry, among other things.

The next item for discussion was **Academic Quality Assessment and Development**. Vice President Botman began the discussion by noting that the AQAD process was established as part of the University Performance Measurement System. AQAD is intended to evaluate and assess the core academic functions of teaching and learning, research, etc. Representatives from each campus then engaged in a roundtable discussion on the importance of program review and its implications.

Following the discussion, Chair Karam and members of the Committee requested more information about ideas for solving problems while lacking the proper resources and the need to re-allocate. Chair Bissonnette agreed that this discussion needs to continue and thanked the Chancellors, Provosts and members of the faculty for their efforts in this area.

The next item was **University of Massachusetts I-495 Center for Professional Education**. Lynn Griesemer, Associate Vice President and Director of the Donahue Institute gave an update on the status of the Professional Education Center. The system-wide steering committee has convened, a full-time director has been hired (Dr. Barbara Macaulay), an advertising campaign has begun, and a market research project has been initiated.

Dr. Griesemer reported that the Center's programs will evolve over time with extensive use of distance learning and will develop and offer new academic programs. Vice Chair Lewenberg congratulated the administration for the quickness in putting this program together and looked forward to the commitment to quality being offered.

The first item for action was **Student Legal Services Office, UMASS Boston**. Provost Cnudde reported that the Student Senate has requested the continuation of the SLSO until they have had sufficient time to review other models for providing these services. This item will return to the Committee before June of 2000.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

WHEREAS the SUNSET PROVISION of Doc. T97-034 states that the authorization for the operation of the Student Legal Services Office shall remain in effect until December 15, 1999.

WHEREAS the SUNSET PROVISION also states that on December 15, 1999 the Office will cease to operate unless before that time the Board of Trustees has acted affirmatively to approve the continued operation of the Office.

WHEREAS the student body agrees that there is a need for some form of student legal services on the UMass Boston campus; that they need to review different models for providing these services and should have input in all decisions regarding the type of service provided.

WHEREAS the Senate voted on August 18, 1999 to ask their Student Trustee to petition the Board of Trustees to extend the SUNSET PROVISION of Doc. T97-034 to June 15, 2000.

WHEREAS Chancellor Penney has reviewed the Student Legal Service Office operations, as stated in the SUNSET PROVISION of Doc. T97-034, and concurs with the Senate that the Office was well utilized by students and an extension of the SUNSET PROVISION would allow the students time to explore other models.

THEREFORE be it resolved as follows:

The SUNSET PROVISION set forth in Trustee Doc. T97-034, is extended from December 15, 1999 to, and including, June 15, 2000.

The next item was **Alcohol and Drug Policy, UMASS Dartmouth, UMASS Lowell**. General Counsel O'Malley gave a brief summary of the amendments to the Alcohol and Drug Policy. One of the amendments included the new Parental Notification section. This process has been developed to engage the parents in a partnership with the University in order to decrease the risks associated with underage drinking.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To approve the parental notification and other revisions to the Lowell Alcohol and Drug Policy as contained in Doc. T93-116, as amended.

And further,

To approve the parental notification and other revisions to the Dartmouth Alcohol and Drug Policy as contained in Doc. T93-116, as amended.

Following the vote, Trustee MacDonald stressed the need for alcohol-related educational programs versus fines and punishments and helping those with legitimate problems. Trustee Avakian also discussed the need for alcohol education programs and raised concerns as to how parental notification fits with state laws protecting privacy. General Counsel O'Malley assured the Committee that this issue had been carefully considered.

Chair Karam noted the Board's desire to be fair and strike a delicate balance between students and the administration as far as alcohol consumption is concerned. He requested that continued dialogue with student leaders on this subject continue.

The next item was **Appointment to the Haidak Chair in Medical Education, UMASS Worcester**. The Worcester campus is requesting approval in appointing Aaron Lazare to the Haidak Chair succeeding the incumbent, Dr. Gerald Haidak.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To concur with the President in the appointment of Aaron Lazare to the Haidak Chair in Medical Education at the University of Massachusetts Worcester. (Doc. T99-101)

Trustee White asked for a University-wide Alcohol Policy consistent with Federal, State and local laws.

Trustee Rogers requested a future discussion on admissions and enrollment figures.

Chair Bissonnette then announced the Committee would enter **Executive Session** to consider **Appointments with Tenure, UMASS Boston, UMASS Worcester** and **Awards of Tenure, UMASS Lowell, Worcester**. She indicated that the Committee would not reconvene in open session.

It was moved, seconded and

VOTED: To enter into Executive Session for the purpose of considering **Appointments with Tenure, UMASS Boston, UMASS Worcester** and **Awards of Tenure, UMASS Lowell, Worcester**.

Trustees Bogan, Carey, Duquette, Flores, Karam, Lewenberg and White voted for the motion as did Chair Bissonnette. The time was 9:55 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE COMMITTEE ON ADMINSTRATION, FINANCE AND AUDIT

Wednesday, January 27, 1999; 8:00 a.m.
Board Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Chair Fey; Vice Chairs Berlandi, Giblin and Naughton; Trustees Court, Dubilo, Mahoney, Mihos and Tremblay

Committee Members Absent: Trustees Dolan, Haynes, Hoff and Molnar

University Administration: President Bulger; General Counsel O'Malley; Vice President Lenhardt; Ms. Wanczyk, University Controller; Mr. O'Riordan, Budget Director; Chancellors Scott, Penney, Hogan and Lazare; Vice Chancellors for Administration and Finance Page, Dars and Goodwin; Deputy Chancellors MacCormack and Stanton; Mr. Marquis, Associate Chancellor; Mr. Porter, UMASS Foundation

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston

Guest: Mr. Gabranski, PricewaterhouseCoopers

Chair Fey convened the meeting at 8:10 a.m. and asked President Bulger for his report.

President Bulger began by providing an overview of the agenda including the student charges to be considered by the Committee and its intent to adhere to the University's policy that the students are paying less than the rate of inflation because of the generous support provided by the Commonwealth.

President Bulger noted the continuing contributions of the Audit functions in the University. The University's Auditors and Trustee members of the former Audit Committee have provided an independent view of the financial and operational activity that is essential to the University's integrity.

Chair Fey then turned the meeting over to Vice Chair Naughton for the Audit Reports. The first item on the agenda was **Consideration of the Audit Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the Audit minutes of the November 27, 1998 meeting of the Committee.

Vice Chair Naughton called on Mr. Gabranski from PricewaterhouseCoopers to report on the first two Audits: **FY98 University Financial Audit Management Letter and A-133 Report on Federal Financial Assistance Programs**.

Mr. Gabranski reported on the evaluation of the University's system of internal control with respect to financial reporting. He noted that no material weaknesses were found as a result of their audit work but that there were areas where internal control should be strengthened. He did note that completion of an accounting procedures manual is becoming more important in order to provide an overall control framework for financial reporting. It is more critical with the upcoming system changes as a result of the PeopleSoft systems implementations.

Of particular interest was the Year 2000 issue. Mr. Gabranski reported that University Information Systems (UIS) has performed an analysis of the impact of the Year 2000 on key administrative systems. The UIS plan should be incorporated into the University's overall Year 2000 preparation including testing of the University's computer hardware, operations systems and other systems and software such as those supporting telecommunications and facility management.

Vice Chair Naughton, noting the potential impact of Year 2000-caused failures, requested a comprehensive review of the University's readiness to be presented at the April, 1999 meeting of this Committee. As stated in the Management Letter, system inventory, assessment and planning phases were completed and comprehensive project plans have been produced documenting the remediation actions that will need to be taken to insure overall Year 2000 compliance.

Trustee Mahoney inquired further about the progress being made with plans for 2000. Vice President Lenhardt assured the Committee that all of their concerns were being addressed and that the fundamental activities are currently being updated. Trustee Mahoney expressed his concern that financial systems, especially those involving grants, loans and financial aid, would be Year 2000 compliant.

Vice Chair Naughton asked that the report in April include a comprehensive check-list of issues that need to be addressed and their status.

Mr. Gabranski continued with the **A-133 Report on Federal Financial Assistance Programs** and reported that the University was in compliance with all requirements governing federal financial assistance.

It was then moved, seconded and

VOTED: To recommend that the Board accept the following University Audit Reports:

•FY98 University Financial Audit Management Letter, PricewaterhouseCoopers (Doc. T99-015)
•A-133 Report on Federal Financial Assistance Programs (Doc. T99-020)

Mr. Wolcott reported on the next item three items, **WFCR-FM and Friends of WFCR, Inc., Combined Financial Statements and Schedule, June 30, 1998, UMASS Amherst, WUMB-FM, Financial statements and WUMB-FM Required Communications Letter**. Both stations received unqualified opinions from the external auditors and that there were no significant changes from previous years so the financial results reflected effective management at the stations.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Reports:

•WFCR-FM and Friends of WFCR, Inc., Combined Financial Statements and Schedule, June 30, 1998, UMASS Amherst by KPMG Peat Marwick (Doc. T99-001)
•WUMB-FM, Financial Statements, Year Ended June 30, 1998, UMASS Boston by Wolf & Company (Doc. T99-002)
•WUMB-FM, Required Communications Letter (Doc. T99-003)

The next item was **Division of Continuing Education, Financial Statements and Auditor's Report, Fiscal Year Ended June 30, 1998, UMASS Boston**. Mr. Wolcott reported that the program's financials also received an unqualified opinion from the audit firm.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit:

Division of Continuing Education, Financial Statements and Auditor's Report, Fiscal Year Ended June 30, 1998, UMASS Boston, Daniel Dennis & Co., LLP (Doc. T99-014)

The next item was the **University's Auditor's Operations Report as of January 8, 1999**. Mr. Wolcott reported that the Audit Department was now fully staffed. The Administrative Redesign review of University Audit by Pappas Consulting is underway and is intended to identify areas and ways to improve the function and increase its value to the University.

Mr. Wolcott mentioned University Audit's involvement in monitoring Y2K readiness throughout the University. He stated that all campuses were very involved in the identification and remediation of areas where compliance was critical including computers and operations where operations could be affected by date routines not Y2K compliant.

It was moved, seconded and

VOTED: To recommend that the Board accept the University Auditor's Operations Report as of January 8, 1999. (Doc. T99-013)

The next item on the agenda was **Consideration of the Administration and Finance Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the Administration and Finance minutes of the November 18, 1998 meeting of the Committee.

The next item was **Establishment of an Endowment Chair, UMASS Amherst**. Chancellor Scott reported that the F.J. Francis Endowed Chair in the Food Sciences Department was established by Frederick J. Francis from the class of '54. The fund will be established with a cash gift of $600,000.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

In accordance with Sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair at the University of Massachusetts Amherst in the Department of Food Science to be known as the F.J. Francis Endowed Chair. (Doc. T99-012)

President Bulger then announced that Chancellor Cressy was absent from today's meeting due to the death of his father.

The next item was **Acquisition of Calf Pasture/Pumphouse, UMASS Boston.** Chancellor Penney reported that this project has been in production for close to ten years. The Board is being asked to approve the acquisition of 9.5 acres of waterfront land in exchange for 40 scholarships for City of Boston students to attend UMASS Boston, in addition to 22 acres of land. This action will also allow the transfer of a parcel of University-owned land to the Boston Water and Sewer Commission.

Responding to a question from Trustee Naughton, Chancellor Penney reported that the environmental clean-up costs will be approximately $800,000.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To authorize the President, in consultation with the Chancellor of the Boston campus, to take all actions necessary to effect the acquisition for the University of the land adjacent to the Boston campus known as Calf Pasture, including the transfer of a parcel of University-owned land to the Boston Water and Sewer Commission and the establishment of a series of scholarships for City of Boston students as outlined in a Memorandum of Understanding between the University and the Commission, and including the proposal of any necessary legislation and the securing of any governmental approvals required for the accomplishment of the transfer and acquisition.

The next item was **Approval of FY2000 Tuition and Fees**. Vice President Lenhardt reported that the President had met with the Chancellors prior to this meeting. Mr. O'Riordan, University Budget Director then made a presentation which highlighted In-State undergraduate student charges.

Mr. O'Riordan reported that the President is recommending that the University adopt mandatory tuition and fee rates whose aggregate increase will be within inflation. The weighted average increase for the University for in-state undergraduate students is 1.4% or $67. Inflation for this period has been estimated at 1.5 to 2.1% depending on the region. Other highlights included:

•the proposed average rate incorporates a 5% tuition reduction at all campuses (in concurrence with the recommendation of the Board of Higher Education to reduce tuition for in-state students across the higher education system);

•increases in the curriculum fee and other mandatory fees resulting in net increases of 0% at Lowell, 0.9% at Dartmouth, 1.5% at Amherst and 3.0% at Boston (the increase in Boston is a technology fee that will enhance the overall quality of student and educational life at the campus);

•the recommended out-of-state charges have been developed to meet the state's statutory requirement that non-resident students pay 100% of the cost of their education;

•the setting of in-state graduate rates is guided by the general principle that the combined tuition and curriculum fee rate should be at least 115% of the combined undergraduate tuition and curriculum fee rate.

Following Mr. O'Riordan's presentation, Chair Fey commended the Administration for the improved quality of the education provided by the University.

Trustee Court offered her support for the Fee Charges.

It was then moved, seconded and

VOTED: To recommend that the Board take the following action:

In accordance with Section 1A of Chapter 75 of the General Laws, to establish and approve tuition at the following rates:

	UMA	UMB	UMD	UML
Tuition				
Undergraduate (Mass resident)	$1,809	$1,809	$1,495	$1,534
Undergraduate (non-resident)	$9,756	$9,758	$7,845	$7,871
Graduate (Mass. resident)	$2,640	$2,590	$2,071	$2,183
Graduate (non-resident)	$9,756	$9,758	$7,845	$7,871

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Tuition	
Medical Students (resident)	$8,352
Graduate (Mass. resident)	$2,640
Graduate (non-resident)	$9,756

And further, in accordance with Section 1A of Chapter 75 and with Section 9 (i) of Chapter 15A of the General Laws, to recommend to the Board of Higher Education that the tuition for the University campuses for Fiscal Year 2000 shall be listed as above.

And further, to authorize the President to approve, no later than April 2, 1999, individual fee rates for mandatory fees, providing that total tuition and mandatory charges to students shall not exceed the combined tuition and mandatory fee rates as outlined below:

	UMA	UMB	UMD	UML
Total Mandatory Fees (Curriculum & Other Mandatory Fees)				
Undergraduate (Mass. resident)	$3,498	$2,508	$2,712	$2,801
Undergraduate (non-resident)	$3,609	$2,594	$3,938	$3,021
Graduate (Mass. resident)	$3,002	$2,520	$2,888	$2,801
Graduate (non-resident)	$3,356	$2,606	$3,938	$3,021

Total Tuition, Curriculum Fee & Mandatory Fees				
Undergraduate (Mass. resident)	$ 5,307	$ 4,317	$ 4,207	$ 4,335
Undergraduate (non-resident)	$13,365	$12,352	$11,783	$10,892
Graduate (Mass resident)	$ 5,642	$ 5,110	$ 4,959	$ 4,984
Graduate (non-resident)	$13,112	$12,364	$11,783	$10,892

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Mandatory Fees	
Medical Students (resident)	$1,995
Grad Sch of Nursing	$1,995
Grad Sch of Biomed Science	$ 825

Total Tuition & Mandatory Fees	
Medical Students (resident)	$10,347
Grad Sch of Nursing (Mass resident)	$ 4,635
Grad Sch of Biomed Sci (Mass resident)	$ 3,465
Grad Sch of Nursing (Non-resident)	$11,751
Grad Sch of Biomed Sci (Non-resident)	$10,581

And further, in accordance with Section 1A of Chapter 75 of the General Laws, to establish and approve the following average room and board charges:

	UMA	UMB	UMD	UML
Board & Room (Average) *				
Undergraduate (Mass resident)	$4,790	N/A	$5,136	$4,836
Undergraduate (non-resident)	$4,790	N/A	$5,136	$4,836
Graduate (Mass resident)	$4,790	N/A	$5,136	$4,836
Graduate (non-resident)	$4,790	N/A	$5,136	$4,836

**includes telecommunications charge at Dartmouth and Lowell*

Total Tuition, Fees, Room & Board				
Undergraduate (Mass resident)	$10,097	$ 4,317	$ 9,343	$ 9,171
Undergraduate (non-resident)	$18,155	$12,352	$16,919	$15,728
Graduate (Mass. resident)	$10,432	$ 5,110	$10,095	$ 9,820
Graduate (non-resident)	$17,902	$12,364	$16,919	$15,728

And further, in accordance with Section 1A of Chapter 75 of the General Laws, to establish and approve the charges for continuing education at the following rates:

	UMA	UMB	UMD	UML
Continuing Education				
Undergraduate	$125.00	$140.00	$140.00	$175.00
Graduate	$150.00	$155.00	$165.00	$220.00

And further, to authorize the President to approve, no later than April 2, 1999, individual fee rates for other student fees. The President shall submit budgets for all student fees for approval by the Board no later than May 5, 1999 including a listing of all mandatory and non-mandatory fees.

The next item **was Establishment of a Technology Fee Fund and Technology Fee, UMASS Boston**. The revenue provided through this fee will help meet the growing technology demands of students, faculty and staff.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To establish, in accordance with the provisions of Chapter 75 of the General Laws, the Technology Fee Fund at the Boston campus; further, to authorize the imposition of a Technology Fee on all students at the Boston campus. All revenues from the Technology Fee shall be deposited in the Technology Fund. Such funds shall be used to meet additional student technology requirements beyond support currently maintained by the campus. The campus shall submit a detailed plan to the President for approval.

The next item was **Modifications to University of Massachusetts Dartmouth Line of Credit Agreement**. Vice Chancellor Dars reported that the $900,000 increase is intended to support the campus' student housing shortage until full-scale new dormitory projects get underway.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To approve the following amendments to Board of Trustee vote T97-090 (October 8, 1997) as follows:

Section 4 amended as follows:

By replacing "2,000,000" with "$2,900,000".

And,

Section 5 amended as follows:

By replacing "$2,000,000" with "$2,900,000".

The next item was **Authorization of University of Massachusetts Foundation, Inc**. Vice President Lenhardt reported that this action certifies that the Foundation is operating in such a manner for the University and authorizes the President to develop a formal management agreement between the two parties.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

("UMASS Foundation") is a Massachusetts charitable corporation organized under Massachusetts General Laws Chapter 180;

Whereas, the University of Massachusetts Foundation, Inc. ("UMASS Foundation") is organized and operated exclusively for the benefit of the University of Massachusetts;

Whereas, the University of Massachusetts Foundation, Inc. ("UMASS Foundation") operates in a manner consistent with the goals and policies of the University of Massachusetts;

Therefore, the University of Massachusetts Foundation, Inc. is certified under the provisions of Massachusetts General Laws Chapter 15A, Section 37;

And furthermore, the President is authorized to negotiate and execute a management agreement between the University of Massachusetts and the University of Massachusetts Foundation, Inc.

The next item was **Approval of Transfer of Funds to Quasi-Endowment, UMASS Lowell**. The Committee is being asked to designate $1 million from the Current Unrestricted Fund balance as quasi-endowment. At present the campus has $2.3 million in quasi-endowment.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

The Board of Trustees hereby designates $1 million of the Lowell Campus' Current Unrestricted Fund Balance as Quasi-Endowment and further authorizes the President or his designee to invest these funds in accordance with the Board of Trustees Cash Management Policy Doc. T92-031, Appendix F as amended October 9, 1996.

The next item was **Worcester Research Building Financing**. Deputy Chancellor Stanton reported on the need for a significant expansion of available research laboratory space at the Medical School. The Board is being asked to approve the request to the Worcester City Campus Corporation to construct 300,000 square feet of research space and to effectuate the financing for the construction and design of such a research facility.

Deputy Chancellor Stanton reported that the Worcester City Campus Corporation Board has approved this action.

Following Deputy Chancellor's presentation, it was moved, seconded and

VOTED: To recommend that the Board take the following action:

To request the Commissioner of the Division of Capital Asset Management to lease space on the Worcester Campus to the Worcester City Campus Corporation (WCCC) pursuant to the provisions of Chapter 138 of the Acts of 1992, as amended, so that said WCCC may construct (and lease back to the University for its use) research laboratory facilities;

And, To request the Worcester City Campus Corporation construct 300,000 square feet of research space on the Worcester Campus to meet such needs as the Chancellor shall direct;

To request the Worcester City Campus Corporation to utilize such funds as have been and will be transferred to it as a result of the merger authorized pursuant to Chapter 163 of the Acts of 1998 as are necessary for the construction of said new research space;

And, To request the Worcester City Campus Corporation to effectuate the financing of up to $70,000,000 for the purposes of the design, construction and equipping of said research facilities;

And, To authorize the University of Massachusetts to utilize revenues from non-state accounts to guarantee payments to the Worcester City Campus Corporation with regard to the financing, construction of and/or lease of space in said new research laboratory facilities on the Worcester campus;

To approve the use of Massachusetts Health and Educational Facilities Authority financing for said research facilities project;

And, To authorize the President of the University in the name of and on behalf of the Trustees to take such actions, secure such governmental approvals, execute such agreements and grant such security interests in the revenues and assets of the University as he may determine to be advisable, necessary or convenient to effectuate these votes and the related capital financing, including the making of a written request of the University of Massachusetts Building Authority to participate in said project should he deem such participation appropriate, or to enter into agreements in conjunction with the Worcester City Campus Corporation for tax-exempt financing issued through one or more qualified issuers in the Commonwealth of Massachusetts to effectuate these purposes in an amount not to exceed $70,000,000;

Authority to participate in said project should he deem such participation appropriate, or to enter into agreements in conjunction with the Worcester City Campus Corporation for tax-exempt financing issued through one or more qualified issuers in the Commonwealth of Massachusetts to effectuate these purposes in an amount not to exceed $70,000,000;

And further, That these resolutions shall constitute "official intent" pursuant to the provisions of the United States Department of Treasury Regulations, including but not limited to Section 1.150-2.

The next item was the **Establishment of a Revolving Loan Pool Program**. Vice President Lenhardt reported that this action authorizes the President to request the Worcester City Campus Corporation to facilitate the funding of a loan to help further the University's commitment to technology and administrative systems.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To authorize the President of the University or his designee to facilitate the creation of a Revolving Pool Loan in the amount of $40,000,000. Said Loan Program may be created either directly through the University, or alone or in combination through Worcester City Campus Corporation (WCCC), or the Massachusetts Health and Educational Facilities Authority (HEFA). The proceeds of this financing will be used in furtherance of the University's commitment to technology and administrative systems. The management of the program and the allocation of the funds will be managed by the University Treasurer's Office. Said financing will be subject to appropriation and will be structured to operate within constitutional limits.

Resolved, that in order to temporarily finance said Revolving Pool Loan Program expenditures in anticipation of the borrowing through the issuance not to exceed $40,000,000, the Treasurer is authorized to make expenditures for the projects from non-state appropriated funds, which expenditures are to be reimbursed from proceeds of the issuance.

Should the University implement the Program through the WCCC, this vote will establish a guarantee by the University of liability incurred by WCCC on behalf of the University.

The next item was the **Establishment of Marine Sciences Revenue-Based Trust Fund, UMASS Dartmouth**. Vice Chancellor Dars reported that this fund will be used for the purpose of receiving fees and handling finds from the teaching, research and public service activities of the Center for Marine Science and Technology.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To establish, in accordance with the provisions of Chapter 75 of the General Laws, the Marine Sciences Revenue Based Trust Fund at the Dartmouth campus to support the teaching, research, and public service activities of the Center for Marine Sciences and Technology. Expenditures from the Fund shall be used for the costs of operations, management and other activities of the Center and related support provided by the Dartmouth campus and the University.

The next item, **Governor's Fiscal Year 2000 House I Budget** was not yet available.

The next item was the **University of Massachusetts Naming Opportunities Gift Thresholds**. Vice President Lenhardt reported that the President's Office, members of the Foundation and the campus Development Officers have developed a draft set of gift thresholds for use by the University in its dealings with donors.

Chair Fey then announced the members of the Investment Committee: Trustee Dubilo as Chair and Trustees Fey and Mahoney.

There being no further business to come before Committee the meeting was adjourned 10:00 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE COMMITTEE ON ADMINSTRATION, FINANCE AND AUDIT

Wednesday, April 28, 1999; 8:00 a.m.
Board Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Chair Fey; Vice Chairs Giblin and Naughton; Trustees Court, Dolan, Dubilo, Karam, Mahoney, McCarthy, Mihos and Molnar

Other Trustees: Trustee White

Committee Members Absent: Trustees Berlandi, Hoff and Tremblay

University Administration: President Bulger; General Counsel O'Malley; Vice President Lenhardt; Ms. Wanczyk, University Controller; Mr. O'Riordan, Budget Director; Chancellors Scott, Penney, Cressy and Hogan; Vice Chancellors for Administration and Finance Page, Dars and Goodwin; Deputy Chancellors MacCormack and Stanton; Mr. Wolcott, Senior Director for Auditing and Fiscal Affairs; Ms. Goulart, Ms. Webster and Mr. Lecnar, University Auditors; Ms. Masci, Associate Budget Director

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor Carter, UMASS Lowell

Guest: Ms. Hauver, KPMG Peat Marwick

Chair Fey convened the meeting at 8:05 a.m.

The first item on the agenda was **Consideration of Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the minutes of the January 27, 1999 meeting of the Committee.

Chair Fey introduced the newest members of the Board: Karl E. White and Robert B. McCarthy.

President Bulger welcomed Trustees White and McCarthy to the Board and summarized the agenda items. He recognized the continuing contributions of investment and audit functions of the University by the Auditors Office, Treasurer's Office and the Trustees providing support for the University's resources.

Vice Chair Naughton then asked Mr. Wolcott to report on the Audit section of the agenda. Mr. Wolcott introduced Ms. Dorothy Hauver from KPMG Peat Marwick to report on the **University Health Services, UMASS Amherst.**

Ms. Hauver reviewed the financial statements for the University Health Services – Student Health Trust Funds for the Fiscal Year ended June 30, 1998. She noted that the operation was still operating at a surplus of revenues over expenditures and had received an unqualified opinion from KPMG.

She then reported on the status of the Supplemental Health Benefits Plan. In prior years, both the Student Health Trust Fund and Supplemental Health Benefits Plan reports were submitted simultaneously. This year, due to the financial condition of the Supplemental Plan, the financial statements and related opinion are being evaluated. KPMG found that there was a serious question as to whether or not the plan was at risk as a "going concern" due to its poor financial condition. Ms. Hauver described the financial condition of the plan and the meaning of the "going concern" issue; that is, the ability of the plan to continue in operation given its financial condition.

Trustee Naughton pointed out that there is a pressing need to address business issues in connection with the plan including fee structure, benefits and management. Trustee McCarthy suggested an evaluation of alternatives.

Chair Fey directed Chancellor Scott to address these issues and report back to the Committee in July with plans for a solution.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

University Health Services, UMASS Amherst (Doc. T99-043)

The next item was **WFCR-FM Management Letter, Annual Audit for FY98, UMASS Amherst**.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

WFCR-FM Management Letter, Annual Audit for FY98, UMASS Amherst (Doc. T99-042)

The next item was **Agreed-Upon Procedures Reports for NCAA Compliance, FY98** including: **Intercollegiate Athletics Department and Minuteman Court Club, Booster Organization and the Related UMASS Athletic Fund, UMASS Amherst**.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Reports:

Agreed-Upon Procedures Reports for NCAA Compliance, FY98
•Intercollegiate Athletics Department (Doc. T99-040)
•Minuteman Court Club, Booster Organization and the Related UMASS Athletic Fund, UMASS Amherst (Doc. T99-041)

The next item was **Summer Sports Campus – Administration and Control, UMASS Amherst.**

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

Summer Sports Campus – Administration and Control, UMASS Amherst (Doc. T99-028)

The next item was **Review of Purchase Card Administration and Control, UMASS Amherst**. Mr. Wolcott noted that the report reflected the successful and controlled implementation of the program at the Amherst campus.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

Review of Purchase Card Administration and Control, UMASS Amherst (Doc. T99-046)

The next item was the **Y2K Template, Identification, Remediation and Contingency Planning**. Ms. Goulart and Ms. Webster reported on the University's preparedness for the Year 2000, including identification, remediation, testing and contingency planning.

Trustee Mahoney asked for a list of mission critical items and signed "readiness statements" from the campuses. Trustee Naughton directed the University's Auditor to continue updating the Committee as to Year 2000 readiness at every meeting.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

> Y2K Template, Identification, Remediation and Contingency Planning (Doc. T99-048)

The next item was the **University Auditor's Operations Report as of April 2, 1999**. Mr. Wolcott described a few significant activities included in the department's operations for the period.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

> University Auditor's Operations Report as of April 2, 1999 (Doc. T99-029)

The next item on the agenda was **Revisions in Parking Regulations, UMASS Amherst.** The revisions reflected modest language changes.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To amend the Parking Regulations for the Amherst campus, as contained in Doc. T97-073, by adopting the changes thereto outlined in Doc. T98-085A.

The next item was **Dissolution of State Student Association Trust Fund, UMASS Lowell**. The State Student Association of Massachusetts at Lowell has ended and a recent referendum of the graduate student body resulted in the discontinuance of the student fee.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> In accordance with Section 11 of Chapter 75 of the General Laws, the Board of Trustees approve the dissolution of the State Student Association of Massachusetts Trust Fund at the University of Massachusetts Lowell, and the transfer of any remaining balances to UMASS Lowell Graduate Student Association Trust Fund. (Doc. T99-031)

The next item was **Authorization for Expenditure of University Funds, FY2000**. Chair Fey reported that this is a routine item; Trustees are requested to delegate authority to the President to expend state and non-state funds until such time as the operating budget has been approved.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To authorize the President to expend at the FY1999 rate, state and non-state funds for the University from July 1, 1999 until such time as the Board adopts the Operating Budget for FY2000. (Doc. T99-032)

The next item was **Approval of FY2000 Fee-Based and Revenue-Based Budgets**. Ms. Masci presented a report on fees and broke down the University's Operating Budget. Some of the issues covered included:

- projected operating surplus of $2.2 million combined
- increase of fund balances of 2.7%
- total revenues projected in FY2000 for this group are: $387.8 million
- total expenditures and transfers are projected at $385.6 million.

Ms. Masci reported that one year ago Trustees had approved expenditures and transfers in the amount of $378.8 million and an operating deficit of $2.7 million for FY1999 for this group of funds; revised estimates show $366.9 million in expenditures and transfers and an operating deficit of $1.3 million expected in FY1999.

Chair Karam requested discussion on how to tackle issues concerning increasing costs for auxiliary services, continuing education, dining room halls, etc. If we are going to meet the needs of the University, we need to find new ways to operate within the budget.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To approve the FY2000 Fee-Based Budgets at the Amherst, Boston, Dartmouth, Lowell and Worcester campuses, and the budgets for the FY2000 Revenue-Based Budgets at the Amherst, Boston, Dartmouth, Lowell and Worcester campuses, as described in Doc. T99-033, and further, to approve other changes in the Statements of Trust as outlined in the Executive Summary. (Doc. T99-033)

The next item was **Establishment of an Endowed Professorship in Cell Biology, UMASS Worcester**. The Vitold Arnett Chair will be funded with charitable gift annuities to the University totaling $700,000. The first incumbent will be Thoru Pederson, Professor of Biochemistry and Molecular Biology and Director of the Worcester Foundation for Biomedical Research.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> In accordance with Sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an Endowed Chair in Cell Biology at the University of Massachusetts Worcester to be known as the Vitold Arnett Professorship in Cell Biology;
>
> And further, to name Dr. Thoru Pederson the first Vitold Arnett Professor. (Doc. T99-034)

The next item was **Establishment of the Eleanor Eustis Farrington Chair in Cancer Research and Appointment to Chair, UMASS Worcester**. The Farrington Chair is funded by a gift from the Eleanor Eustis Farrington Trustee and will support the research activities of the Director of the University's Cancer Center, Dr. Peter Quesenberry.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To establish an Endowed Chair in Cancer Research at the University of Massachusetts Worcester to be known as the Eleanor Eustis Farrington Chair in Cancer Research, and further, to appoint Peter Quesenberry, Director of the Cancer Center, as the first incumbent of the Farrington Chair. (Doc. T99-045)

The next item was **Faculty Dismissal Policy, UMASS Worcester**. Deputy Chancellor Stanton reported that the policy has been debated and discussed among the administration, faculty and the President's Office. The final product is a policy that is fair for both the individual and the institution.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To approve the procedures for dismissal and removal of tenure from faculty members at the University of Massachusetts Medical School; further to rescind the dismissal procedures in Doc. T64-061 insofar as they have applied to the Medical School. (Doc. T99-049)

The next item was **Commercial Use of Radio Tower Space, UMASS Amherst**. This item will authorize the Chancellor to negotiate licensing agreements with governmental and commercial clients to open up a new revenue stream for the general operation of the WFCR Radio station.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To authorize pursuant to Doc. T75-158 the Chancellor of the Amherst campus, or his or her designee, to prepare the necessary instruments to authorize governmental agencies and commercial entities to enter upon the land of the University at Mount Lincoln in Hampshire County for the purpose of installing and maintain receiving and/or transmitting electronic equipment; further, that the Treasurer of the University be empowered and authorized to execute all instruments on behalf of the Trustees of the University in furtherance of these matters. (Doc. T99-035)

The next item was **Amendment to Capital Plan, UMASS Amherst**. Chancellor Scott reported that the Amherst campus is requesting the Integrated Sciences Facility project be added to the Capital Plan. He thanked Trustee Mahoney for his help with this project.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To amend the University of Massachusetts Capital Plan 1999-2000 (Doc. T98-103) to include the proposed Integrated Sciences Facility at the University of Massachusetts Amherst. (Doc. T98-103, as amended)

The next item was **Amendments to Capital Plan, UMASS Worcester**. Deputy Chancellor Stanton reported on the Medical School's intention to finance the proposed Research Facility.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To amend the University of Massachusetts Capital Plan 1999-2000 (Doc. T98-103) to include projects outlined in Doc. T98-103, as amended.

And,

To approve the use of Massachusetts Health and Educational Facilities Authority Financing for said Capital Plan.

And,

To request the Worcester City Campus Corporation to effectuate the financing, design and construction of such projects within said Capital Plan as the President shall determine to be advisable.

And,

To authorize the University to utilize revenues from non-state accounts to guarantee payments to the Worcester City Campus Corporation with regard to the financing, design, construction and/or leasing of space relating to projects within said Capital Plan as the President shall determine to be advisable.

And,

To authorize the President of the University in the name of and on behalf of the Trustees to take such actions, secure such government approvals, execute such agreements and grant such security interests in the revenues and assets of the University as he may determine to be advisable, necessary or convenient to effectuate said Capital Plan, including the making of a written request of the University of Massachusetts Building Authority to participate in projects within said Capital Plan, or to enter into arrangements in conjunction with the Worcester City Campus Corporation for tax exempt financing issued through one or more qualified issuers in the Commonwealth of Massachusetts.

And further,

That these votes shall constitute "official intent" pursuant to the provisions of the United States Department of Treasury Regulations, including but not limited to Section 1.150-2. (Doc. T98-103, as amended)

The next item was **Amendments to Intellectual Property Policy, UMASS Worcester**. Deputy Chancellor Stanton reported that the Medical School is requesting a modification to the policy determining the distribution of non-equity revenue derived from commercialization. The proposed change will preserve the allocation to the inventor/creator but caps the allocation to the departments, shifting higher allocations to the campus so that such revenues can be used to meet the investment needs identified in the business plan.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To amend Doc. T96-040 as approved on April 11, 1996 by the Board of Trustees for the University of Massachusetts Worcester by striking the provisions of Section III.G.1.b and inserting in place thereof the following new section —

b. The remaining non-equity revenue will be distributed as follows:

•Fifteen percent (15%) to the CVIP to fund patents, CVIP operations, and research grants; provided that such amount shall be capped in each fiscal year at an amount equal to the highest amount budgeted for CVIP operations from the campus over the prior three fiscal years, whether through assessment or through revenue derived from licensing or both; provided further, that amounts in excess of this cap shall be utilized at the direction of the Chancellor, with the approval of the President, for endowment in the department or program of the inventor(s) or creator(s). Amounts distributed to CVIP and/or such endowment shall be divided ratably based upon all non-equity revenue received in any given fiscal year.

•Thirty percent (30%) to the inventor(s) or creator(s). In the case of multiple inventors or creators, their shares will be distributed as they unanimously agree at the time of the invention disclosure. If the inventors or creators cannot agree on the distribution between (among) them, their shares will be distributed in equal portions.

•Fifty-five percent (55%) to the campus of the inventor or creator; provided, that:

Fifteen percent (15%) of the first seven hundred thousand dollars ($700,000) in non-equity revenue received by the campus in any fiscal year from any invention or creation shall be distributed to the department or program of the inventor(s) or creator(s); and

Ten percent (10%) of amounts between seven hundred thousand one dollars ($700,001) and one million dollars ($1,000,000) in non-equity revenue received by the campus in any fiscal year from any invention or creation shall be distributed to the department or program of the inventor(s) or creator(s); and

Five percent (5%) of amounts in excess of one million dollars ($1,000,000) in non-equity revenue received in any fiscal year by the campus from any invention or creation shall be distributed to the department or program of the inventor(s) or creator(s).

If multiple departments or programs are involved, their shares will be distributed in the same manner as the distributions to the inventors or creators within such departments or programs.

Notwithstanding the distribution described above, the Chancellor, with the approval of the President, may pledge all non-equity revenues other than the portion allocated to the inventor(s) or creator(s) to meet the debt service obligations of the campus.

And by striking the provisions of Section III,G.2.a,b and c and inserting in place thereof the following new sections –

Acceptance of Equity – the University may accept an equity interest in a company, provided that before the CVIP agrees to accept equity, it must receive the approval of the Vice Chancellor for Research, the Vice President for Economic Development, and the University Treasurer. The equity received by the University in connection with the commercialization of Intellectual Property will be held until liquidation, with the proceeds distributed as follows:

a. First, to the extent the University is not fully reimbursed for out-of-pocket expenses from the non-equity revenue, the University will be reimbursed for any remaining out-of-pocket expenses incurred in obtaining and maintaining patent, copyright, or other intellectual property protection for a specific item of Intellectual Property, and in evaluating and marketing such Intellectual Property.

b. The remaining proceeds from equity liquidation will be distributed as follows:

- Twenty-five percent (25%) for endowment in the department or program of the inventor(s) or creator(s).

- Seventy-five percent (75%) to the campus for endowment of research or scholarship.

> Equity held within the University will be managed by the Treasurer. Equity may also be held on behalf of the University by the University of Massachusetts Foundation, Inc., or another outside investment advisor to minimize potential institutional conflicts of interest. (Doc. T96-040, as amended)

The next item was **Acquisition of Property, UMASS Worcester**. This action will assume operational responsibility for the Biologics Laboratory and the Newborn Screening Program from the Department of Public Health.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> That the President is hereby authorized and directed to request the University of Massachusetts Building Authority to acquire the White Building adjacent to the Jamaica Plain Campus, and that the Worcester campus enter into a contract with the purchaser for use of such property utilizing funds from the Biologics Laboratory Trust Fund. (Doc. T99-036)

The next item was **FY1999 University Financial Ratios Analysis**. Ms. Wanczyk gave a presentation on the comparisons between the University and other schools regarding financial cushion, operating margin, excess of revenues over expenditures and mandatory transfers, endowment assets and endowments per student.

The next item for discussion was **FY1999 Financial Indicators Report**. Mr. O'Riordan's presentation included the following:

- all indicators are positive after FY2000
- Surpluses and financial cushions are modest
- FY2002 targets and FY2004 projections reflect a focus on investing in plant and technology and increasing endowment
- improvements will be a long-term process

The next item was **FY1999 Financial Aid Report**. Mr. O'Riordan presented the following information:

- Total Aid provided to Students in FY99 was $220.4 million
- Institutional Aid in FY99 was $27.3 million

Mr. O'Riordan also discussed the University's Performance Measurement System Target for institutional aid as a percentage of campus operating budgets for FY02 and the average unmet student need for AY94-95 and AY98-99.

The next item was a report of the Investment Sub-Committee. Trustee Dubilo reported on the **University of Massachusetts Treasury and Banking System Policy,** which came as a result of the investment meeting. This policy will bring consistency to the campuses financial position.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> That the University Treasurer shall report back to this committee at its next meeting on actions taken to assure that: all University revenue from whatever source are deposited and administered through the University banking system and held for investment by the University Treasurer and that all disbursements of any kind are made by the University Treasurer who will have access to University accounts in order to effect the proper accounting adjustments and treatments to reflect these transactions in the accounting system. (Doc. T99-047)

Chair Fey then announced the Committee would enter **Executive Session** to discuss **Collective Bargaining**. She indicated that the Committee would not reconvene in open session.

It was moved, seconded and

VOTED: To enter into **Executive Session** for the purpose of discussing **Collective Bargaining** issues.

Trustees Dolan, Dubilo, Giblin, Karam, McCarthy, Mihos, Molnar, Naughton and White voted for the motion as did Chair Fey. The time was 10:35 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE SPECIAL MEETING OF THE COMMITTEE ON ADMINSTRATION, FINANCE AND AUDIT

Monday, July 12, 1999; 2:00 p.m.
Knapp Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Chair Fey; Vice Chairs Giblin and Naughton; Trustees Avakian, Dubilo, Karam, McCarthy and Mihos

Other Trustees: Trustee Rogers

Committee Members Absent: Trustees Berlandi, Hoff, Mahoney and MacDonald

University Administration: President Bulger; General Counsel O'Malley; Vice President Lenhardt; Ms. Wanczyk, University Controller; Chancellors Scott, Penney, Cressy, Hogan and Lazare; Vice Chancellors for Administration and Finance Page and Goodwin; Deputy Chancellors MacCormack and Stanton; Mr. Ridley, Project Manager

Vice Chair Giblin convened the meeting at 2:10 p.m. This meeting was called to discuss issues related to the **PeopleSoft Administrative System**.

Vice President Lenhardt reported on the three objectives and goals associated with the PeopleSoft mission: improve the University's customer service relationship with students, enhance the opportunities for the personnel at the University, and that the University cannot adequately serve its needs without monitored administrative assistance.

A determination was made that 90% of what the University is engaged in is at the campus level in terms of including transactional and operational activities. One of the biggest challenges will be to sustain one official student payroll and personnel record. The State Comptroller is in charge of making sure that the expenditure activity is reflective of one corporate entity. The University reports on a monthly basis all the financial transactions and does not want to jeopardize the state operating and capital appropriations. The University needs to sustain that capacity while simultaneously enhancing campus activity.

Vice President Lenhardt continued his report by stressing the goal of keeping the University in business during the installation.

The University has purchased the PeopleSoft software and data platform as a single purchase, which will assure a common software, and data platform throughout the University. The Central University Administration, Amherst, Dartmouth and Worcester will operate with one existing data center. Boston and Lowell will develop a separate data center - administrative system environment. Boston and Lowell are planning to outsource their data center as a pilot approach to a data center and create applications with staff capacity shared by the two campuses.

As the request of the President and members of the Board, the internal audit department has played a key role in making sure installation of the system has met all the criteria and will in fact certify that no one can go live on a particular installation unless certain standards have been met.

Vice President Lenhardt continued his report with a history of events leading up to the current status included in the PeopleSoft/Administrative Systems Update Report. Mr. Brad Ridley has been functioning as the Project Manager for eight months; a project managing team comprised of two or three campus representative work directly on a day-to-day basis on the project.

President Lenhardt then discussed the financial costs of this project. The current estimate is $35 million of new direct costs to pay for the installation.

There was a question about the six-month pilot arrangement - Vice President Lenhardt reported that at the end of six months, we would revisit the program in terms of whether it is working effectively. The Dartmouth campus has reserved the option of going back in to the Boston and Lowell Data Center. He stressed the fact that there would not be a third data center.

There were questions about the number of people that need to be hired; Vice President Lenhardt stated a minimum of 24 people would be needed as technical data base administrators. It has been difficult recruiting and retaining highly skilled people in this field; they are hard to find and tend to leave for higher salaries once knowledgeable in this particular product.

Chair Karam requested a discussion with Anderson Consulting, the firm selected as the implementation partner, to discuss the process of changing over to PeopleSoft. There should be indirect reports once every three or four months about specific real life examples where people have changed the processes prior to implementation of the new systems.

Vice President Lenhardt reiterated that everybody has to be in place by July, 2001 for the process to meet this ultimate target together and at the same time. Should Amherst and Worcester move ahead on the student side then we would meet with the project leaders with Boston, Lowell and Dartmouth and share the experience and information.

Chair Karam requested an estimate on indirect costs. Vice President Lenhardt reported that that a template has been circulated and a report will be coming back to the Committee.

It was stressed that this meeting was held not only to update the Committee with the progress of the PeopleSoft system but also to have the campus' express any level of concern with the project.

Chair Karam also pointed out that statement in the report about the strength as a University is in having campuses that are not the same. He stressed the importance of finding common ways to administer student services; our strength and difference is in the different missions that the campuses provide in education, research and public service.

Trustee McCarthy suggested hiring a person as the Chief Information Officer for the database.

There being no further business to come before the Committee, the meeting was adjourned at 3:15 p.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE COMMITTEE ON ADMINSTRATION, FINANCE AND AUDIT

Wednesday, July 28, 1999; 8:00 a.m.
Board Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Chair Fey; Vice Chair Naughton; Trustees Avakian, Berlandi, Karam, MacDonald and McCarthy

Other Trustees: Trustee Rogers

Committee Members Absent: Trustees Dubilo, Giblin, Hoff, Mahoney and Mihos

University Administration: President Bulger; General Counsel O'Malley; Vice President Lenhardt; Ms. Wanczyk, University Controller; Mr. O'Riordan, Budget Director; Chancellors Scott, Penney, Cressy, Hogan and Lazare; Vice Chancellors for Administration and Finance Page, Heaney and Goodwin; Deputy Chancellors MacCormack and Stanton; Mr. Wolcott, Senior Director for Auditing and Fiscal Affairs; Ms. Goulart, Ms. Webster and Mr. Lecnar, University Auditors; Ms. Masci, Associate Budget Director

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Langley, UMASS Dartmouth, Professor Carter, UMASS Lowell

Guest: Mr. Croteau and Mr. Gabranski, PricewaterhouseCoopers, Ms. Hauver, KPMG Peat Marwick

Chair Fey convened the meeting at 8:07 a.m. and welcomed the newest members to the Committee: Seth Avakian and Brian MacDonald; Trustee Rogers was also in attendance. Trustee Fey also welcomed William Heaney, Vice Chancellor for Administration and Finance at the Dartmouth campus.

The first item on the agenda was **Consideration of Minutes of the Prior Meeting of the Committee**.

It was moved, seconded and

VOTED: To approve the minutes of the April 28, 1999 meeting of the Committee.

President Bulger reported on the Satisfaction Survey Results and indicated that students, faculty and staff are generally satisfied with the services that are provided.

President Bulger also indicated that final word on the state budget is pending and briefly reviewed the agenda items.

Vice Chair Naughton then asked Mr. Wolcott to give the Audit Report. Mr. Wolcott introduced John Gabranski and Brian Croteau from PricewaterhouseCoopers who discussed audit approaches and significant issues in connection with the Fiscal Year 1999 **University General Purpose Financial and A-133 Audits**.

Mr. Wolcott then introduced Ms. Dorothy Hauver from KPMG Peat Marwick who reported on the **Supplemental Health Benefits Plan Audited Financial Statements, FY98**. She noted that the Amherst campus provided a solution to revenue shortfalls that eliminated "growing concern" issues for FY98 but the plan would continue to operate at a deficit until significant changes were made.

Chancellor Scott also discussed some of the measures to be taken to improve the financial health of the plan. He stated that a proposal for a rate increase would be presented to the full Board.

Ms. Hauver then discussed **University Health Services – Student Health Trust Fund Management Letter**. Ms. Hauver noted that there were no material deficiencies found and that the recommendations were designed to improve management's effectiveness.

Mr. Edward Lecnar reported on the next item, **Purchase Card Review, President's Office and Central Services**. Mr. Lecnar noted the overall positive results from the audit and described some findings and the corrective actions to be taken.

Vice Chair Naughton questioned the level of resources needed to administer the program. Ms. Wanczyk noted that some of the corrective actions could be done easier if staffing constraints were not present and that additional staffing would be sought.

Ms. Nancy Goulart and Ms. Nancy Webster updated the Committee on the University's progress in preparing for the Year 2000, including current identification, remediation and testing as well as contingency planning. They reported that one campus needed to emphasize the importance of Y2K readiness and that some testing of completed Y2K readiness statements would be done. Ms. Webster stated that an interim report would be prepared and sent to the Committee in early September.

The next item was the **University Auditor's Operation Report**. Mr. Wolcott described some of the significant activities included in the department's operations for the period, including PeopleSoft issues, the circulation of a draft improper acts (fraud) policy and state audit results.

The next item was **Approval of an Audit Firm**. Mr. Wolcott requested that the Committee approve the recommended selection of Meyers Brothers, P.C. Certified Public Accountants of Longmeadow, Massachusetts as auditors for WFCR-FM Radio. Mr. Wolcott described the evaluation process that led to the recommendation to select this firm for a term of up to five years.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Reports:

1. Review of Purchase Card Administration and Control, President's Office and Central Administrative Services **(Doc. T99-067)**
2. Y2K Preparedness Update **(Doc. T99-068)**
3. and implementation of guidelines governing University participation in the World Supplemental Health Benefits Plan Audited Financial Statements, FY98, KPMG Peat Marwick **(Doc. T99-073)**
4. University Health Services – Student Health Trust Fund Management Letter **(Doc. T99-074)**
5. University Auditor's Operation Report **(Doc. T99-070)**

It was then moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

To select the firm of Meyers Brothers, P.C., Certified Public Accountants and Business Consultants of Longmeadow, Massachusetts as the audit firm for the annual audit of WFCR-FM Radio, Amherst campus, as recommended by the University Auditor's memorandum of July 8, 1999.

Vice President Lenhardt then asked the Committee to approve the next three items on the agenda: **World Wide Web Policy, Business Continuity and Planning Policy and Records Management, Retention and Disposition Policy**. These three policies will continue to develop and promote the benefits of information technology throughout the University.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

The President of the University shall see to the development and implementation of guidelines governing University participation in the World Wide Web (WWW), which he may amend from time to time as appropriate or as required by law. If any University policy conflicts with federal or state statute, the applicable statute shall apply.

Such guidelines shall make provision for the design, development and maintenance of official University pages or publications on the World Wide Web and for the assignment of responsibility for assuring that such official publications are appropriately adapted to the mission of the University. The guidelines shall also provide specifications and requirements for the posting on University Internet or computing facilities of non-official web pages or publications by faculty, students, staff, organizations or others, provided that the University shall retain the right, subject only to constitutional protections of free speech and press, to remove any such web page or publication found to be in violation of any copyright, law, rule, regulation or University policy or procedure, or the rights of any person or organization, or to contain matter which is fraudulent, threatening or obscene. No person or organization shall be allowed to use University Internet or computing facilities to publish web pages for personal business or financial gain except as expressly permitted by other University policies. The guidelines issued pursuant to this policy shall also provide appropriate safeguards for the protection of private or confidential data.

Compliance with and implementation of the guidelines shall be a responsibility of any University employee using University Internet or computing facilities.

Upon approval of the guidelines or any amendment thereto, the President shall forward the guidelines to the Secretary of the Board of Trustees. The President, together with the Chancellors or their designees, shall also establish specifications and timetables for the development of supplementary World Wide Web procedures on the campuses. Campus procedures must adhere to this policy and the President's guidelines.

And further,

VOTED: To recommend that the Board take the following action:

The President of the University shall develop and adopt guidelines to require each campus to develop, implement and test business continuity plans for its critical business processes and data systems. The President may, from time to time, amend the guidelines as appropriate or as required by law.

Such guidelines shall provide for the protection of the University's data and record-keeping systems against disruption so that the University business may continue uninterrupted. The guidelines shall make provision for: (1) defining and ranking in priority those data systems or business processes which are critical to University operations; (2) outlining responsibilities for business continuity planning, including assessment and analysis of the risk of disruption to each such process or data system; and (3) formulating plans for the prompt resumption of business functions in case of disruption.

The President, together with the Chancellors or their designees, shall establish guidelines and timetables for business continuity plan development on the campuses. Campus procedures must adhere to the President's guidelines.

Compliance with and implementation of the guidelines and applicable campus procedures shall be the responsibility of all University employees.

Upon approval of the guidelines or any amendment thereto, the President shall forward the guidelines to the Secretary of the Board of Trustees.

And further,

VOTED: To recommend that the Board take the following action:

The President of the University shall adopt guidelines to require that each campus institute records management, retention and disposition procedures for the proper management of University records. The President may, from time to time, amend the guidelines as appropriate or as required by law.

Such guidelines shall be consistent with Massachusetts General Laws, c. 66 and other applicable state statutes governing retention of public and official records and disposition of obsolete records, as well as with any contractual commitments or federal law or regulation which may apply. The guidelines shall provide for the proper maintenance and protection of archived records, and for the adoption of schedules for disposition of obsolete records, which schedules shall to the extent practicable given University needs and requirements be consistent with schedules adopted by the State Records Conservation Board.

Compliance with and implementation of the guidelines and any supplementary procedures shall be the responsibility of all University employees.

Upon approval of the guidelines or any amendment thereto, the President shall forward the guidelines to the Secretary of the Board of Trustees. The President, together with the Chancellors or their designees, shall also establish specifications and timetables for the development of supplementary records, management, retention and disposition procedures and data retention/disposition schedules on the campuses. Campus procedures must adhere to this policy and the President's guidelines.

The next item was **Establishment of Endowed Chairs, UMASS Amherst, UMASS Boston**. Chancellor Scott and Chancellor Penney briefly described each Chair.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> In accordance with sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair in education at the University of Massachusetts Amherst to be known as the Alma and Joseph Keilty Endowed Chair in Education.
>
> And,
>
> In accordance with sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair in education at the University of Massachusetts Boston to be known as the Paul H. Tucker Endowed Distinguished Professorship in Art.
>
> And further,
>
> In accordance with sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair in art at the University of Massachusetts Boston to be known as the Alton J. Brann Endowed Distinguished Professorship in Science and Mathematics.

The next item was **FY2000 Allocation of State Funds**. The members of the Committee are being asked to delegate allocation authority to the President; the state budget has not yet been approved.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

> To direct the President to develop an allocation plan for the amount appropriated for the University in Line Item 7100-0200 of the state appropriation act for fiscal year 2000, and to notify the Board of Trustees of said plan within 40 days of the passage of said appropriation act, and the House and Senate Committees on Ways and Means within 45 days of the passage of said act.

The next item was the **Eunice Kennedy Shriver Center for Mental Retardation University of Massachusetts Medical School Merger**. Chancellor Lazare reported that the Shriver Center is a small research enterprise operating on the grounds of the Fernald School in Waltham. This merger will bring a number of outstanding scientists and educators into the faculty at the Medical School and strengthen the University's relationship with the Commonwealth's Department of Mental Retardation.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

WHEREAS, The University of Massachusetts Worcester and the Eunice Kennedy Shriver Center for Mental Retardation, Inc. have reached agreement as to the terms of their combination; and

WHEREAS, by this combination the University of Massachusetts Worcester will be both preserving an important asset to the scientific and mental retardation communities within the Commonwealth and furthering the University's academic, training, research and service missions; and

WHEREAS, by this combination the University of Massachusetts Worcester will be bringing a number of outstanding scientists and educators from the Shriver Center into the faculty of the University of Massachusetts Worcester; and,

WHEREAS, by this combination the University of Massachusetts Worcester strengthens its relationship with the Commonwealth's Department of Mental Retardation.

NOW THEREFORE IT IS VOTED to authorize the President to take all actions necessary, or to subdelegate such authority to the Chancellor, to effectuate the merger/combination of the Eunice Kennedy Shriver Center for Mental Retardation, Inc. into the University of Massachusetts Medical School, including entering into such agreements with the Department of Mental Retardation as are necessary to support the mission and purpose of this combination.

The next item on the agenda was **Alumni Center and Office, UMASS Amherst**. Vice President Julian reported that the University is negotiating the creation of an alumni center and office to be located on Hadley Farm. Debt service would be paid by the Alumni Association.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

Authority (the "Authority") is authorized by Chapter 773 of the Acts of 1960, as amended, among other things, to provide dormitories, dining commons and other buildings and structures for the use of the University of Massachusetts (the "University"), its students, staff and their dependents and certain organizations related to the University, to alter, enlarge, reconstruct, remodel and do other work in or upon or respecting any building or structure, to provide and install furnishings, furniture, machinery, equipment and facilities in or for or related to any such building or structure and to initiate projects for such purposes upon

written request made by authority of the Board of Trustees (the "Trustees") of the University; and

WHEREAS, the Authority is further authorized by said Chapter 773 to acquire real and personal property by lease, purchase and otherwise; and

WHEREAS, in the judgment of the Trustees it is in the best interests of the University, its students, staff and their dependents and said organizations that the Authority initiate the project described below;

NOW, THEREFORE, BE IT RESOLVED THAT

1. The Vice President, Treasurer, of the University be and he hereby is authorized (a) in the name and on behalf of the Trustees to make a written request of the Authority that the Authority initiate a project (the "Project") consisting of the acquisition, renovation and expansion of the Manor House, so-called, located on Hadley Farm, so-called in Hadley, Massachusetts, together with such land of said Hadley Farm as deemed advisable by said Authority to provide for the proper functioning of said Manor House as an office building and events center and to further request that the Authority make the use of said Project available to the University of Massachusetts Alumni Association Amherst on said terms that are acceptable to said Authority. Said Association being hereby declared a University Affiliate for the purpose of said Chapter 773.

2. For financing purposes the Project may be undertaken separately or together with other projects of the Authority requested in writing pursuant to authority of the Trustees.

3. The President of the University and all other officers of the University be and they hereby are and each acting singly is authorized and directed to request the Commissioner of Administration to approve in writing the undertaking by the Authority of the Project and to do such things and to take other action as the officer and officers so acting shall, as conclusively evidenced by their taking action hereby authorized, deem necessary or desirable to be done or taken to carry into effect the matters hereby authorized.

4. The University hereby declares its official intent under Section 1.150-2(d)(1) and (e) of the Treasury Regulations as follows:

The University reasonably expects that there shall be reimbursed from the proceeds of the Authority Bonds expenditures temporarily advanced for the Project by the University, the maximum principal amount of Authority Bonds expected to be issued, all or a portion of the proceeds of which are reasonably expected to be used for such reimbursement purposes, being $4,000,000.

The next item was **UMASS Treasury and Banking System Policy**. Vice President Lenhardt reported that the Treasurer's Office will be authorized to have greater access to the cash and investment operations on all the campuses. His office has been meeting with campus personnel to work on the details of this transition. It is expected that the system will be converted by the end of this September.

The next item was **Report on FY1999 Professional Service Contracts over $100,000**. Vice President Lenhardt reported that this is a routine item; the report contains brief descriptions of each contract over $100,000.

The next item was **Administrative Redesign Report**. Mr. O'Riordan gave a report on the Satisfaction Survey Results, which is a component of the Administrative Redesign effort. This year the UMASS Donahue Institute administered the survey over the telephone.

Mr. O'Riordan then reviewed the results of the Faculty/Staff and Student Surveys. The survey was designed to ask individuals how important services such as the Bursar's Office, Career Services and Library Services are to them and how satisfied they were with these services. The surveys showed relatively high levels of satisfaction.

Of particular concern to the students were the parking issues; this is an issue that needs to be addressed. That aside, virtually, every service received satisfactory results.

Chair Fey reported on the special meeting of the Committee on Administration, Finance and Audit to discuss the PeopleSoft Project. The meeting helped the Committee members get a handle of the status of the project; it has been determined that there will be two data centers and all the campuses along with the President's Office will be compliant on July 1, 2001.

There being no further business to come before the Committee, the meeting was adjourned at 9:55 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE COMMITTEE ON ADMINSTRATION, FINANCE AND AUDIT

Wednesday, October 27, 1999; 8:00 a.m.
Board Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Chair Dubilo; Vice Chair Naughton; Trustees Avakian, Fey, Karam, MacDonald and Mihos

Other Trustees: Trustee Rogers

Committee Members Absent: Trustees Giblin, Hoff, Mahoney and McCarthy

University Administration: President Bulger; General Counsel O'Malley; Vice President Lenhardt; Ms. Wanczyk, University Controller; Mr. O'Riordan, Budget Director; Chancellors Scott, Penney, MacCormack and Hogan; Vice Chancellors for Administration and Finance Page, MacKenzie, Heaney and Goodwin; Deputy Chancellor Stanton; Mr. Wolcott, Senior Director for Auditing and Fiscal Affairs; Mr. Marquis, Associate Treasurer; Ms. Goulart and Ms. Webster, University Auditors; Ms. Masci, Associate Budget Director

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor Carter, UMASS Lowell

Guests: Mr. Croteau, Mr. Foley and Mr. Gabranski, PricewaterhouseCoopers

Chair Dubilo convened the meeting at 8:05 a.m.

The first item on the agenda was **Consideration of Minutes of the Prior Meetings of the Committee**.

It was moved, seconded and

VOTED: To approve the minutes of the July 12, 1999 and July 28, 1999 meetings of the Committee.

President Bulger reported on several items: the University's financial condition is stable and its investment strategy will position the University for the future. The operating budget is still waiting for a state appropriation while the capital needs plan reflects a large opportunity for improvement.

President Bulger thanked Provost Wagner of Lowell and Vice President Chmura for leading the effort to develop a comprehensive business plan that will allow the University to maximize its potential in the area of corporate and continuing education.

Vice President Lenhardt announced his intention to provide a general overview of the University's financial activities and condition. Following his report, Vice President Lenhardt announced the need to discuss the subject of student fees in January. The Chancellors will be asked to provide an impact statement on the subject in the near future.

The first item for action was the **FY 1999 University Financial Report**. Ms. Wanczyk, University Controller, first thanked the many people on the campuses that have contributed to this report. She also thanked the Trustees and administrators for their feedback as to how to better improve the information that is provided.

Ms. Wanczyk then gave a presentation highlighting key aspects of the financial report and showed the results of applying the Trustee approved financial indicators to the financial statements. The financial indicators show that the University is financially sound and that the University's financial condition has improved since the fiscal year began.

It was moved, seconded and

VOTED: To recommend that the Board accept the following report:

To accept the FY 1999 University Financial Report, as contained in Doc. T99-088.

The next item was the **FY 1999 Treasurer's Investment Report**. Mr. Marquis, Associate Treasurer, presented a summary of the overall investment activity for managing the operating funds. Total income generated from investments amounted to $15,969,894 in Fiscal Year 1999.

It was moved, seconded and

VOTED: To recommend that the Board accept the following report:

To accept the FY 1999 Treasurer's Investment Report, as contained in Doc. T99-089.

The next item was **FY 2000 University Operating Budget**. Mr. O'Riordan, Budget Director, reported on the impact of the operating budget; the University at this time has made certain conservative assumptions. Strategic priorities include continued investments in plant through mandatory transfers for debt service. Areas of concern include the difficulty in planning without a state budget, spending at a slightly higher rate than increases in revenue and uncertainty over fee issues and PeopleSoft implementation.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To approve the FY 2000 Operating Budget for the University of Massachusetts, as contained in Doc. T99-090.

The next item was **FY 2001 Budget Request Guidelines**. Mr. O'Riordan reported on the process of the schedule for the State Budget request. The University's funding formula is based on the program, mission, and structure of the campuses; the request is submitted to the Governor and Legislature in early November of each year. The budget request format will be structured to focus on basic operational needs and University priorities.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To authorize the President to prepare and submit the Fiscal Year 2001 State Appropriation request. (Doc. T99-091)

The next item was **Capital Plan Update and Request for the University of Massachusetts Building Authority to Undertake Certain Capital Projects**. Ms. Masci, Associate Budget Director, highlighted a few of the University's financial challenges: capacity to pay the bill and the capacity to do the work, the need to invest in infrastructure, the decision to spend more on debt or receive more state dollars. The University has been working with the Division of Capital Asset Management in updating the capital plan and securing state funds. Each year, the Trustees will be asked to approve a rolling five-year plan – the Board will be presented with a progress report on how the University is meeting its capital needs.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To approve the FY 2000 Capital Plan for the University, as contained in Doc. T99-092.

And further,

WHEREAS, the University of Massachusetts Building Authority (the "Authority") was created by Chapter 773 of the Acts of 1960 of the Commonwealth of Massachusetts (the "Commonwealth") (said Chapter 773, as amended, being hereinafter called the "Enabling Act") as a body politic and corporate and a public instrumentality of the Commonwealth;

WHEREAS, the Authority is created by the Enabling Act for the general purposes of aiding and contributing to the performance of the educational and other purposes of the University of Massachusetts (the "University") by providing dormitories, dining commons and other buildings and structures for the use of the University, its students, staff and their dependents and for lease to or use by an organization or association, in any form, of students or others the activities of which are a part of the activities at the University and subject to regulation by the Board of Trustees of the University (the "Trustees"), a research, foundation or other research organization the operation of which in conjunction

with the University is approved by the Trustees or other entity and activities of which are approved by the Trustees as furthering the purposes of the University;

WHEREAS, the Authority is authorized by the Enabling Act, among other things,

(a) To construct buildings or structures and to acquire, add to, alter, enlarge, reconstruct, remodel and do other work in or upon or respecting any building or structure, in each case upon written request made by authority of the Trustees; and to provide and install furnishings, furniture, machinery, equipment, facilities, approaches, driveways, walkways, parking areas, planting and landscaping in or for or related to any such building or structure; provided that such approaches, driveways, parking areas, planting and landscaping be approved by authority of the Trustees;

(b) To borrow money from time to time to achieve any one or more of its corporate purposes and to refund obligations earlier incurred for any such purpose and for refunding, and to issue and sell its revenue bonds and notes therefor, payable solely from its revenues;

WHEREAS, in the judgment of the Trustees it is in the best interests of the University, its students, staff and their dependents and said organizations that the Authority initiate the projects described by the following:

NOW THEREFORE, BE IT RESOLVED THAT:

1. The President of the University be and he hereby is authorized in the name and on behalf of the Trustees to make a written request of the Authority that the Authority initiate

(a) any or all of the projects set forth in Doc. T99-092 attached hereto; and

(b) any other renovation, repair, remodeling or other work in or upon or respecting any building or structure owned or used by the University or the Authority, or the provision, installation, renovation, repair or remodeling of or other work upon or respecting any furnishings, furniture, machinery, equipment or facilities with respect to any such building or structure, all as may be requested of the Authority in writing from time to time by the President or Vice President and Treasurer of the University, the making of any such request being hereby authorized;

2. The projects to be initiated by the Authority in accordance with the request authorized to be made in Section 1 of this resolution may in the discretion of the Authority be undertaken separately or together for financing purposes; and

3. The President of the University and all other officers of the University be and they are and each acting singly is authorized and directed to request the Commissioner of Administration to approve in writing the undertaking by the Authority of the projects a request for which is hereby authorized and to do such other things and to take such other action as to the officer or officers so acting shall, as conclusively evidenced by their taking the action hereby authorized, deem necessary or desirable to be done or taken to carry into effect the matters hereby authorized.

The next item was **Technical Correction Votes Relative to the Current HEFA Financing**. Vice President Lenhardt reported the corrections make it clearer that non-appropriated University funds are available to pay the pool loan and that appropriated University funds are available to pay the Worcester obligations.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To amend the vote adopted by the Board of Trustees on February 3, 1999 relative to the creation of a Revolving Pool Loan Program by striking out I the fourth sentence thereof the words "will be subject to appropriation" and by adding at the end of said sentence the words "and the President or his designee is authorized to agree, on behalf of the University, with HEFA to make such loan secured or unsecured and payable from such funds and revenues of the University as he may deem appropriate and as may be permitted by law, including without limitation St. 1960, c.773, s.19A, as amended." The remainder of said vote is hereby confirmed.

And further,

To amend the vote adopted by the Board of Trustees on May 5, 1999 relative to the second amendment to the University of Massachusetts Capital Plan 1999-2000 (Doc. T98-103, as amended) (i) by striking the second clause the words "for said Capital Plan" and inserting in place thereof the words "for such projects within said Capital Plan as the President shall determine to be advisable," (ii) by striking out in the third clause the words "revenues from non-state accounts" and inserting in place thereof the words " such funds and revenues of the University as the President shall deem appropriate and as may be permitted by law, including without limitation St. 1960, c.773, s19A, as amended," and (iii) by striking out the fifth clause and inserting in place thereof the words "To authorize the President of the University in the name of and on behalf of the Trustees to take such actions, secure such government approvals, execute such agreements and provide for such terms and sources of repayment, on a secured or unsecured basis, as he deem appropriate and as may be permitted by law (including without limitation St. 1960, c.773, s19A, as amended), including the making of a written request of the University of Massachusetts Building Authority to participate in

projects within said Capital Plan, or to enter into arrangements, which may be in conjunction with the Worcester City Campus Corporation, for tax-exempt financing issued through one or more qualified issuers in the Commonwealth of Massachusetts. The remainder of said vote is hereby confirmed and extended to the University of Massachusetts Capital Plan 2000-2001. (Doc. T99-017, as amended)

The next item was **Authorization for Worcester 403(b) Program**. Vice President Lenhardt reported that the University would be better served following the Clinical System merger which transferred the Group Practice to UMass Memorial, if a clean program were established to meet the campus needs. The campus (subject to the approval of the President) would preserve this benefit program for those non-clinical employees currently within it and allow the development of the program as a recruitment tool.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

In accordance with the authority vested in the University Board of Trustees, the President shall have the authority to establish new pension, annuity, or deferred compensation plans. Such plans shall be administered by the Office of the Treasurer in accordance with Sections 401, 403, 457 or other appropriate provisions of the Internal Revenue Code, and in accordance with Administrative Delegation. (Doc. T99-094)

The next item was **Authorization for Implementation of Alternative Fringe Programs**. This authorization will allow the campus to provide benefits for 400 leased employees, who have not yet transferred to UMass Memorial, with those of the employees who did transfer to the Clinical system.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

The Personnel Policy for Non-Unit Professional Staff is hereby amended by adding the following new section:

VII. ALTERNATIVE FRINGE BENEFITS

In accordance with the authority vested in the University Board of Trustees, as such authority may be supplemented by the provisions of Chapter 163 of the Acts of 1997, the President shall have the authority to establish, approve and amend an alternative program of employee fringe benefits including, but not limited to compensated absences, industrial accident coverage, and group insurance coverage.

Such programs may be made applicable to such campuses, groups of employees, professional staff and and/or faculty, or subgroups thereof, including those subject to collective bargaining agreements, at the discretion of the President, subject to the University's obligation to bargain in good faith. (Doc. T94-023, as amended)

The next item was **Approval of Facilities Naming**. Deputy Chancellor Stanton reported that the Worcester development staff had sought a number of naming gifts; the Learning Center at $1 million and each of the two amphitheaters at $250,000 each.

It was moved, seconded and

VOTED: To recommend that the Board take the following action:

To approve the naming of the Learning Center at the University of Massachusetts Worcester the Allan S. Goff Learning Center; and

To approve the naming of an auditorium at the University of Massachusetts Worcester the Jacob Hiatt Auditorium; and

To further approve the naming of an auditorium at the University of Massachusetts Worcester the Jacqueline F. Lazare Auditorium.
(Doc. T99-096)

Deputy Chancellor Stanton briefly discussed the need to modify the **Definitive Agreement** between the University and UMass Memorial. The President is authorized to make these changes.

Vice President Lenhardt noted an updated **Policy Initiatives** list had been distributed.

Vice Chair Naughton then asked Mr. Wolcott to give the Audit Report. Mr. Wolcott presented the **University Health Services (Supplemental Health Benefits Plan Trust Fund), UMASS Amherst**. He noted that the fund's financial position had improved from the prior year but was still precarious and would need ongoing management attention.

Mr. Gabranski and Mr. Croteau of PricewaterhouseCoopers reviewed the financial results of the audit and discussed the required communications with the Committee.

Mr. Gabranski then introduced Mr. Kevin Foley of PricewaterhouseCoopers who will be the engagement partner for the audit.

Mr. Wolcott then presented the **University Health Services (Student Health Trust Funds), UMASS Amherst**. He reported that the fund's cash and fund balance reflected the effects of revenue and cost control measures taken by management.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Report:

University Health Services (Supplemental Health Benefits Plan Trust Fund), UMASS Amherst (Doc. T99-097) and,

University Health Services (Student Health Trust Funds), UMASS Amherst (Doc. T99-098)

The next item was **Y2K Preparedness Survey Results**. Ms. Goulart and Ms. Webster provided an update on the University's Y2K readiness. Ms. Goulart and Ms. Webster updated the Committee on the University's progress in preparing for the Year 2000, including current identification, remediation and testing as well as contingency planning. They thanked those staff members who worked so hard on the Y2K effort throughout the University. They reported that the Amherst campus had shown major improvement since the previous report to the Committee.

Vice President Lenhardt reported that the U.S. Environmental Protection Agency (EPA) was paying special attention to colleges and universities compliance with EPA regulations. Violations were costly to violators. Ms. Webster pointed out that the EPA's refusal to waive Environmental regulations due to Y2K problems had been communicated to the campuses.

Lastly the auditors summarized the status of readiness statements from the campuses and stated that an interim status report would be prepared and mailed to the Committee in mid-December.

Mr. Wolcott described some of the significant activities included in the department's operations report for the period, including PeopleSoft issues, the status of external audits, policy development and cash work.

It was moved, seconded and

VOTED: To recommend that the Board accept the following Audit Reports:

Y2K Preparedness Survey Results (Doc. T99-087)

University Auditor's Operation Report (Doc. T99-093)

There being no further business to come before the Committee, the meeting was adjourned at 10:25 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARTMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE BOARD OF TRUSTEES

Wednesday, February 3, 1999; 11:30 a.m.
Fisher Recital Hall, Durgin Hall
South Campus
University of Massachusetts
Lowell, Massachusetts

Trustees Present: Chair Karam; Vice Chair Lewenberg; Trustees Berlandi, Bissonnette, Bogan, Court, Dolan, Dubilo, Fey, Foley, Hoff, Mahoney, Mihos, Molnar, Osterhaus and Tremblay

Trustees Absent: Trustees Flores, Giblin, McCarthy and Naughton

University Administration: President Bulger; Chancellors Scott, Penney, Cressy, Hogan and Lazare; General Counsel O'Malley; Vice Presidents Botman, Chmura, Julian and Lenhardt

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor Phelan, UMASS Lowell; Dr. Cooke, UMASS Worcester

Chair Karam convened the meeting at 11:20 a.m.

The first item on the agenda was **Consideration of the Minutes of the Previous Meeting of the Board**. Without discussion, it was moved, seconded and

VOTED: To approve the minutes of the December 2, 1998 meeting of the Board.

The next item on the agenda was the **Chair's Report**. Chair Karam reported that several vacancies have opened up on the Board. Mr. Robert McCarthy, a Watertown firefighter has been sworn in as a Trustee but could not be here today due to a fireman's funeral. The Trustees who have recently left the Board will be honored in the near future.

The next item was a resolution introduced by Vice Chair Lewenberg for former President **Michael K. Hooker.** It was moved, seconded and

VOTED: Whereas, Michael K. Hooker graduated from the University of Massachusetts Amherst with a Ph.D. in Philosophy in 1973;

Whereas, in 1992 Dr. Hooker was appointed the first full-time President of the five-campus University of Massachusetts;

Whereas, Dr. Hooker served the University with great energy and distinction during his term as President;

Whereas, Dr. Hooker now serves as Chancellor of the University of North Carolina Chapel Hill, his undergraduate alma mater; and

Whereas, we have learned that Dr. Hooker now faces the personal challenge of serious health problems;

Be it Resolved, the Board of Trustees of the University of Massachusetts, in a meeting assembled this third day of February, 1999, does hereby express on behalf of the entire University community its sincere best wishes and hopes for a rapid recovery, and that the Board authorize President William M. Bulger to carry and convey this message to him.

The next item was a resolution for **Maurice A. Donahue** introduced by Trustee Berlandi. It was moved, seconded and

VOTED: Whereas, Maurice A. Donahue served the University of Massachusetts as the Director of its Institute for Governmental Services from June, 1971 through September, 1988; and

Whereas, on February 1, 1989 the Institute was re-named Maurice A. Donahue Institute for Governmental Services in honor of the former Senate President Donahue's leadership; and

Whereas, Mr. Donahue faithfully served the people of the Commonwealth with honor and distinction as a legislator from 1949 to 1970, and served as Senate President from 1964 to 1970; and

Whereas, Mr. Donahue filed legislation to establish both the Boston campus and the Medical School of the University; and

Whereas, Mr. Donahue was appointed to the Walsh-Saltonstall Professorship in Practical Politics at the University in 1971, was awarded the University of Massachusetts Medal for Long and Distinguished Service in 1988, and retired from the University in 1988; and

Whereas, Mr. Donahue passed away on January 13, 1999 at the age of 80 after contributing greatly to the University and the Commonwealth;

Be it Resolved, the Board of Trustees of the University of Massachusetts, in a meeting assembled this third day of February, 1999, does hereby express on behalf of the entire University community its sincere condolences to Mr. Donahue's family members, and that the Board authorizes President William M. Bulger to carry and convey this message to them.

The next item on the agenda was the **President's Report**. President Bulger first reported on the proposed adjustments to student charges. Following three consecutive years of overall decreases of total mandatory student charges, the Board is being asked to increase the charges for the 1999-2000 academic year by an average of 1.4 percent. Following these adjustments, the University costs will remain at 1994 levels. By keeping the increases below the inflation rate the University is being sensitive to the financial pressures on students and parents. This approach is possible due to the strong support that the Governor and the Legislature have shown for the University.

President Bulger continued his report by announcing that the University Research Council has met for the first time which is an important step as the University strives to maximize its research capacity and support the educational and economic pursuits of the Commonwealth.

President Bulger reported that the second annual awards dinner to honor faculty members who provide exemplary public service to the Commonwealth, is being planned.

President Bulger was pleased to report that Professor Robert Waxler from the Dartmouth campus has finished editing a volume called Changing Lives Through Literature which will be published this spring. The President congratulated Professor Waxler for his work.

Other faculty members whose achievements have brought the University positive recognition include:

•Peter Kiang, UMASS Boston who was awarded the Ernest Lynton Award for Faculty Professional Service and Academic Outreach by the New England Resource Center for Higher Education;

•James Watkins, UMASS Amherst has been awarded a five-year $625,000 Packard Fellowship for his research on nanodevices which increase the speed of computers

Chair Karam then introduced the **Consent Agenda**. It was moved, seconded and

VOTED: To approve the following votes on the Board Consent Agenda:

a. **Committee on Administration, Finance and Audit – January 27, 1999**

1. To accept the following University Audit Reports:
•FY98 University Financial Audit Management Letter, PricewaterhouseCoopers (Doc. T99-015) Report on Federal Financial Assistance Programs (Doc. T99-020)

•WFCR-FM and Friends of WFCR, Inc., Combined Financial Statements and Schedule, June 30, 1998, UMASS Amherst by KPMG Peat Marwick (Doc. T99-001)

•WUMB-FM, Financial Statements, Year Ended June 30, 1998, UMASS Boston by Wolf & Company (Doc. T99-002)
•WUMB-FM, Required Communications Letter (Doc. T99-003)

•Division of Continuing Education, Financial Statements and Auditor's Report, Fiscal Year Ended June 30, 1998, UMASS Boston, Daniel Dennis & Co., LLP (Doc. T99-014)

•University Auditor's Operations Report as of January 8, 1999 (Doc. T99-013)

2. **Establishment of an Endowment Chair, UMASS Amherst (Doc. T99-012)**
In accordance with Section 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair at the University of Massachusetts Amherst in the Department of Food Science to be known as the F.J. Francis Endowed Chair.

3. **Acquisition of Calf Pasture/Pumphouse, UMASS Boston (Doc. T99-021)**
To authorize the President, in consultation with the Chancellor of the Boston campus to take all actions necessary to effect the acquisition for the University of the land adjacent to the Boston campus known as Calf Pasture, including the transfer of a parcel of University-owned land to the Boston Water and Sewer Commission and the establishment of a series of scholarships for City of Boston students as outlined in a Memorandum of Understanding between the University and the Commission, and including the proposal of any necessary legislation and the securing of any governmental approvals required for the accomplishment of the transfer and acquisition.

The next item on the agenda was the **Report of the Committee on Academic Affairs, Student Affairs and Athletics**. Trustee Bissonnette reported that the Committee had met on January 28 and had heard two very interesting reports: Admissions and Enrollment Targets and Goals for Fall, 1999 and College Students Today. An Award of Tenure from the Worcester campus would be discussed in Executive Session.

The next item on the agenda was the **Report of the Committee on Administration, Finance and Audit**. Trustee Fey reported that the Committee had met on January 27. The Audit Reports had been voted under the Consent Agenda and had been found to be in order. Vice President Lenhardt had provided an overview of the Tuition and Fee Rates. Trustee Fey thanked the President's Office and the Chancellors for reducing tuition within the rate of inflation. As was reported at the meeting of the Committee of the Whole it is encouraging to note that 85% of students are satisfied with their UMASS education.

The first item for action is **Approval of the FY2000 Tuition and Fee Rates**. It was moved, seconded and

VOTED: In accordance with Section 1A of Chapter 75 of the General Laws, to establish and approve tuition at the following rates:

	UMA	UMB	UMD	UML
Tuition				
Undergraduate (Mass resident)	$1,809	$1,809	$1,495	$1,534
Undergraduate (non-resident)	$9,756	$9,758	$7,845	$7,871
Graduate (Mass. resident)	$2,640	$2,590	$2,071	$2,183
Graduate (non-resident)	$9,756	$9,758	$7,845	$7,871

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Tuition	
Medical Students (resident)	$8,352
Graduate (Mass. resident)	$2,640
Graduate (non-resident)	$9,756

And further, in accordance with Section 1A of Chapter 75 and with Section 9 (i) of Chapter 15A of the General Laws, to recommend to the Board of Higher Education that the tuition for the University campuses for Fiscal Year 2000 shall be listed as above.

And further, to authorize the President to approve, no later than April 2, 1999, individual fee rates for mandatory fees, providing that total tuition and mandatory charges to students shall not exceed the combined tuition and mandatory fee rates as outlined below:

	UMA	UMB	UMD	UML
Total Mandatory Fees (Curriculum & Other Mandatory Fees)				
Undergraduate (Mass. resident)	$3,498	$2,508	$2,712	$2,801
Undergraduate (non-resident)	$3,609	$2,594	$3,938	$3,021
Graduate (Mass. resident)	$3,002	$2,520	$2,888	$2,801
Graduate (non-resident)	$3,356	$2,606	$3,938	$3,021

Total Tuition, Curriculum Fee & Mandatory Fees				
Undergraduate (Mass. resident)	$ 5,307	$ 4,317	$ 4,207	$ 4,335
Undergraduate (non-resident)	$13,365	$12,352	$11,783	$10,892
Graduate (Mass resident)	$ 5,642	$ 5,110	$ 4,959	$ 4,984
Graduate (non-resident)	$13,112	$12,364	$11,783	$10,892

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Mandatory Fees	
Medical Students (resident)	$1,995
Grad Sch of Nursing	$1,995
Grad Sch of Biomed Science	$ 825

Total Tuition & Mandatory Fees	
Medical Students (resident)	$10,347
Grad Sch of Nursing (Mass resident)	$ 4,635
Grad Sch of Biomed Sci (Mass resident)	$ 3,465
Grad Sch of Nursing (Non-resident)	$11,751
Grad Sch of Biomed Sci (Non-resident)	$10,581

And further, in accordance with Section 1A of Chapter 75 of the General Laws, to establish and approve the following average room and board charges:

	UMA	UMB	UMD	UML
Board & Room (Average) *				
Undergraduate (Mass resident)	$4,790	N/A	$5,136	$4,836
Undergraduate (non-resident)	$4,790	N/A	$5,136	$4,836
Graduate (Mass resident)	$4,790	N/A	$5,136	$4,836
Graduate (non-resident)	$4,790	N/A	$5,136	$4,836
**includes telecommunications charge at Dartmouth and Lowell*				

Total Tuition, Fees, Room & Board				
Undergraduate (Mass resident)	$10,097	$ 4,317	$ 9,343	$ 9,171
Undergraduate (non-resident)	$18,155	$12,352	$16,919	$15,728
Graduate (Mass. resident)	$10,432	$ 5,110	$10,095	$ 9,820
Graduate (non-resident)	$17,902	$12,364	$16,919	$15,728

And further, in accordance with Section 1A of Chapter 75 of the General Laws, to establish and approve the charges for continuing education at the following rates:

	UMA	UMB	UMD	UML
Continuing Education				
Undergraduate	$125.00	$140.00	$140.00	$175.00
Graduate	$150.00	$155.00	$165.00	$220.00

And further, to authorize the President to approve, no later than April 2, 1999, individual fee rates for other student fees. The President shall submit budgets for all student fees for approval by the Board no later than May 5, 1999 including a listing of all mandatory and non-mandatory fees.

The next item was **Establishment of Technology Fee Fund, UMASS Boston**. It was moved seconded and

VOTED: To establish, in accordance with the provisions of Chapter 75 of the General Laws, the Technology Fee Fund at the Boston campus; further, to authorize the imposition of a Technology Fee on all students at the Boston campus. All revenues from the Technology Fee shall be deposited in the Technology Fund. Such funds shall be used to meet additional student technology requirements beyond support currently maintained by the

campus. The campus shall submit a detailed plan to the President for approval.

The next item was **Modifications to University of Massachusetts Dartmouth Line of Credit Agreement**. Chancellor Cressy expressed his gratitude to the Worcester campus for their assistance.

It was moved, seconded and

VOTED: To approve the following amendments to Board of Trustee vote T97-090 (October 8, 1997) as follows:

Section 4 amended as follows:

By replacing "2,000,000" with "$2,900,000".

And,

Section 5 amended as follows:

By replacing "$2,000,000" with "$2,900,000".

The next item was **Certification of University of Massachusetts Foundation, Inc.**

It was moved, seconded and

VOTED: Whereas, the University of Massachusetts Foundation, Inc. ("UMASS Foundation") is a Massachusetts charitable corporation organized under Massachusetts General Laws Chapter 180;

Whereas, the University of Massachusetts Foundation, Inc. ("UMASS Foundation") is organized and operated exclusively for the benefit of the University of Massachusetts;

Whereas, the University of Massachusetts Foundation, Inc. ("UMASS Foundation") operates in a manner consistent with the goals and policies of the University of Massachusetts;

Therefore, the University of Massachusetts Foundation, Inc. is certified under the provisions of Massachusetts General Laws Chapter 15A, Section 37;

And furthermore, the President is authorized to negotiate and execute a management agreement between the University of Massachusetts and the University of Massachusetts Foundation, Inc.

The next item was **Approval of Transfer of Funds to Quasi-Endowment, UMASS Lowell**.

It was moved, seconded and

VOTED: The Board of Trustees hereby designates $1 million of the Lowell Campus' Current Unrestricted Fund Balance as Quasi-Endowment and further authorizes the President or his designee to invest these funds in accordance with the Board of Trustees Cash Management Policy Doc. T92-031, Appendix F as amended October 9, 1996.

The next item was **Worcester Research Building Financing**. Trustee Fey reported that Chancellor Lazare and Deputy Chancellor Stanton had provided the Committee an informative presentation on this subject. Chancellor Lazare reported on his discussion with Ben Reeves, Christopher Reeve's brother, about recent spinal cord progress and the need for research laboratory space. Chair Karam commended the campus for their strong commitment to major research initiatives.

It was moved, seconded and

VOTED: To request the Commissioner of the Division of Capital Asset Management to lease space on the Worcester Campus to the Worcester City Campus Corporation (WCCC) pursuant to the provisions of Chapter 138 of the Acts of 1992, as amended, so that said WCCC may construct (and lease back to the University for its use) research laboratory facilities;

And, To request the Worcester City Campus Corporation construct 300,000 square feet of research space on the Worcester Campus to meet such needs as the Chancellor shall direct;

And, To request the Worcester City Campus Corporation to utilize such funds as have been and will be transferred to it as a result of the merger authorized pursuant to Chapter 163 of the Acts of 1998 as are necessary for the construction of said new research space;

And, To request the Worcester City Campus Corporation to effectuate the financing of up to $70,000,000 for the purposes of the design, construction and equipping of said research facilities;

And, To authorize the University of Massachusetts to utilize revenues from non-state accounts to guarantee payments to the Worcester City Campus Corporation with regard to the financing, construction of and/or lease of space in said new research laboratory facilities on the Worcester campus;

And, To approve the use of Massachusetts Health and Educational Facilities Authority financing for said research facilities project;

And, To authorize the President of the University in the name of and on behalf of the Trustees to take such actions, secure such governmental approvals, execute such agreements and grant such security interests in the revenues and assets of the University as he may determine to be advisable, necessary or convenient to effectuate these votes and the related capital financing, including the making of a written request of the University of Massachusetts Building Authority to participate in said project should he deem such participation appropriate, or to enter into agreements in conjunction with the Worcester City Campus Corporation for tax-exempt financing issued through one or more qualified issuers in the Commonwealth of Massachusetts to effectuate these purposes in an amount not to exceed $70,000,000;

And further, That these resolutions shall constitute "official intent" pursuant to the provisions of the United States Department of Treasury Regulations, including but not limited to Section 1.150-2.

The next item was **Establishment of a Revolving Pool Loan Program**.

It was moved, seconded and

VOTED: To authorize the President of the University or his designee to facilitate the creation of a Revolving Pool Loan in the amount of $40,000,000. Said Loan Program may be created either directly through the University, or alone or in combination through Worcester City Campus Corporation (WCCC), or the Massachusetts Health and Educational Facilities Authority (HEFA). The proceeds of this financing will be used in furtherance of the University's commitment to technology and administrative systems. The management of the program and the allocation of the funds will be managed by the University Treasurer's Office. Said financing will be subject to appropriation and will be structured to operate within constitutional limits;

Resolved, that in order to temporarily finance said Revolving Pool Loan Program expenditures in anticipation of the borrowing through the issuance not to exceed $40,000,000, the Treasurer is authorized to make expenditures for the projects from non-state appropriated funds, which expenditures are to be reimbursed from proceeds of the issuance;

Should the University implement the Program through the WCCC, this vote will establish a guarantee by the University of liability incurred by WCCC on behalf of the University.

The next item was **Establishment of Marine Sciences Revenue Based Trust Fund, UMASS Dartmouth**. It was moved seconded and

VOTED: To establish, in accordance with the provisions of Chapter 75 of the General Laws, the Marine Sciences Revenue Based Trust Fund at the Dartmouth campus to support the teaching, research, and public service activities of the Center for Marine Sciences and Technology. Expenditures from the Fund shall be used for the costs of operations, management and other activities of the Center and related support provided by the Dartmouth campus and the University.

The next item on the agenda was the Report of the **Building Authority**. Trustee Lewenberg reported on recent activities and thanked Joseph Brady in the President's Office for his diligence in these areas.

The next item was the **Report of the Committee of the Whole**. Chair Karam reported that the Board had heard a report on the Alumni Survey and was pleased to report the positive feedback from our alumni members. He also stressed the need to continue to improve academic quality.

The next item was the **Report of the Development Committee**. Trustee Hoff reported on fundraising developments; we are now through the second quarter and are at 40% with Worcester in the lead.

Trustee Mahoney thanked Vice President Julian for his help with the UMASS Foundation as they search for a new Director. This position is expected to be filled by the end of February. He also thanked Royster Hedgepeth from the Amherst campus who will be chairing next year's Gala.

Under **Other Business** Chair Karam reported that Trustee Peter Lewenberg would be stepping down as a member of the **UMass Memorial Health Care, Inc., Board.** Trustee Bissonnette, an expert in health care laws will be taking Trustee Lewenberg's seat.

It was moved, seconded and

VOTED: WHEREAS, one of the University-affiliated Trustees of the UMass Memorial Health Care, Inc. has resigned during his official term; and

WHEREAS, the University has the right to appoint a successor for the remainder of the official term;

NOW THEREFORE BE IT RESOLVED, that the University appoints Diane Bissonnette as the successor Trustee for the remainder of the official term.

Chair Karam then asked for a motion to go into **Executive Session** to **discuss Award of Tenure, UMASS Worcester**, **Honorary Degrees, UMASS Amherst, Boston, Lowell, Worcester and Collective Bargaining**. He indicated that the Board would not reconvene in open session.

Board of Trustees
February 3, 1999

It was moved, seconded and

VOTED: To enter Executive Session for the purpose of considering an Award of Tenure, Honorary Degrees and issues related to Collective Bargaining.

Chair Karam voted for the motion as did Trustees Berlandi, Bissonnette, Bogan Dolan, Dubilo, Fey, Foley, Hoff, Mahoney, Mihos and Molnar.

The time was 11:55 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARTMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE BOARD OF TRUSTEES

Wednesday, May 5, 1999; 9:15 a.m.
Conference Dining Room
University of Massachusetts
Old Westport Road
Dartmouth, Massachusetts

Trustees Present: Chair Karam; Vice Chair Lewenberg; Trustees Bogan, Court, Dolan, Fey, Flores, Foley, Giblin, Hoff, Mihos, Molnar, Naughton Osterhaus, Tremblay and White

Trustees Absent: Trustees Berlandi, Bissonnette, Dubilo, Mahoney and McCarthy

University Administration: President Bulger; Chancellors Scott, Penney, Cressy, Hogan and Lazare; General Counsel O'Malley; Vice Presidents Botman, Chmura, Julian and Lenhardt

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor DiPippo, UMASS Dartmouth; Professor Carter, UMASS Lowell

Chair Karam convened the meeting at 9:20 a.m.

The first item on the agenda was **Consideration of the Minutes of the Previous Meeting of the Board**. It was moved, seconded and

VOTED: To approve the minutes of the February 3, 1999 meeting of the Board.

The next item on the agenda was the **Chair's Report**. Chair Karam welcomed the newest members to the Board: Robert B. McCarthy and Karl E. White.

Chair Karam then asked Trustee Dolan to give the **Student Trustee Report** for the Dartmouth campus which included concern for the lack of housing space on campus.

Chair Karam acknowledged the out-going student Trustees: Eleanor Court, Chad Molnar, Terry Dolan, Keith Tremblay and Kerri Osterhaus and presented a token of the Board's appreciation to them for their dedication to the University. The newly elected student Trustees were then introduced: Seth Avakian, (UMASS Amherst) Edwin Rogers, (UMASS Boston) Brian MacDonald, (UMASS Dartmouth) Wayne Standley (not present) (UMASS Lowell) and Madeleine Carey (UMASS Worcester).

Mr. Thomas Coish, President of the UMASS Amherst Chapter of Local 509, SEIU addressed the Board on privatization issues. Following Mr. Coish's report, Chair Karam noted the Board's intent to follow due process in this regard.

The next item on the agenda was the **President's Report**. President Bulger thanked Chancellor Cressy and his staff for hosting the Board and this meeting. He then updated the Board on two important initiatives: the University Scholars Program had 348 of the first and second-ranked students at Massachusetts high schools named by their principals for scholarships. This is an increase from 323 last year and 223 the year before. A State House ceremony to honor the scholars has been scheduled for May 20th.

President Bulger reported that 650 freshmen are expected to enroll in the Amherst campus Commonwealth College program this fall.

President Bulger also reported on his attendance at the Undergraduate Conference held at the Federal Reserve Bank of Boston which was organized by the Amherst campus Honors Program, and attracted students and faculty researchers from each of the undergraduate campuses and many from the state and community colleges across the Commonwealth.

President Bulger reported on the possibility of creating an inter-campus Graduate School of Marine Science and Technology. He also announced that the Development seminar has been scheduled for May 12 and the STEP meeting was held this past April.

President Bulger then thanked the out-going student Trustees for their service and for having demonstrated outstanding qualifications and urged them to continue to use their talents for the public good.

Chancellor Cressy acknowledged Lewis Dars, Vice Chancellor for Administration and Finance as he returns as a member of the faculty.

Chancellor Cressy also introduced Thomas Curry, newly appointed Provost for the Dartmouth campus.

Chair Karam thanked Zunilka Barrett in the Trustee's department for her work on the Trustee Orientation Manual.

Chair Karam then introduced the **Consent Agenda**. It was moved, seconded and

VOTED: To approve the following votes on the Board Consent Agenda:

a. **Committee on Academic Affairs, Student Affairs and Athletics – April 29, 1999**

1. Code of Student Conduct, UMASS Amherst (Doc. T94-059, as amended)

To approve the revisions to the Code of Student Conduct for the Amherst campus contained in Doc. T94-059, as amended.

b. **Committee on Administration, Finance and Audit – April 28, 1999**

•Administration and Finance

1. **Revisions in Parking Regulations, UMASS Amherst (Doc. T97-073, as amended by Doc. T98-085A)**

To amend the Parking Regulations for the Amherst campus, as contained in Doc. T97-073, by adopting the changes thereto outlined in Doc. T98-085A.

2. **Dissolution of State Student Association Trust Fund, UMASS Lowell (Doc. T99-031)**

In accordance with Section 11 of Chapter 75 of the General Laws, the Board of Trustees approve the dissolution of the State Student Association of Massachusetts Trust Fund at the University of Massachusetts Lowell, and the transfer of any remaining balances to UMASS Lowell Graduate Student Association Trust Fund.

3. **Authorization for Expenditure of University Funds, FY2000 (Doc. T99-032)**

To authorize the President to expend at the FY1999 rate, state and non-state funds for the University from July 1, 1999 until such time as the Board adopts the Operating Budget for FY2000.

4. **Approval of FY2000 Fee-Based and Revenue-Based Budgets (Doc. T99-033)**

To approve the FY2000 Fee-Based Budgets at the Amherst, Boston, Dartmouth, Lowell and Worcester campuses, and the budgets for the FY2000 Revenue-Based Budgets at the Amherst, Boston, Dartmouth, Lowell and Worcester campuses, as described in Doc. T99-033, and further, to approve other changes in the Statements of Trust as outlined in the Executive Summary.

•Audits

•University Health Services Financial Statements, UMASS Amherst **(Doc. T99-043)**

•WFCR-FM Management Letter, Annual Audit for FY98, UMASS Amherst **(Doc. T99-042)**

•Agreed-Upon Procedures Reports for NCAA Compliance, FY98
•Intercollegiate Athletics Department **(Doc. T99-040)**
•Minuteman Court Club, Booster Organization and the Related UMASS Athletic Fund, UMASS Amherst **(Doc. T99-041)**

•Summer Sports Campus – Administration and Control, UMASS Amherst **(Doc.T99-028)**

•Review of Purchase Card Administration and Control, UMASS Amherst **(Doc. T99-046)**

•Y2K Template, Identification, Remediation and Contingency Planning **(Doc. T99-048)**

•Summer Sports Campus – Administration and Control, UMASS Amherst University Auditor's Operations Report as of April 2, 1999 **(Doc. T99-029)**

The next item on the agenda was the **Report of the Committee on Academic Affairs, Student Affairs and Athletics**. In the absence of Trustee Bissonnette, Trustee Bogan reported that the Committee had met on April 29. There had been several action items as well as campus reports from the Athletic Directors. Trustee Bogan voiced his concern regarding athletic directors and union membership.

The first item for action was **Waiver of Sabbatical Leave Return Obligation, UMASS Boston**. It was moved, seconded and

VOTED: To waive the sabbatical leave return obligation of Joan Ecklein, Professor at the General Center of the College of Public and Community Service at the University of Massachusetts Boston.

And,

To waive the sabbatical leave return obligation of Louis Esposito, Professor, Economics Department at the University of Massachusetts Boston.

And further,

To waive the sabbatical leave return obligation of Paul Brown, Professor, Economics Department at the University of Massachusetts Boston. (Doc. T99-024)

The next item was **Appointment to the Haidak Chair, UMASS Worcester**. It was moved, seconded and

VOTED: To concur with the President in the appointment of William C. Meyers to the Haidak Chair at the University of Massachusetts Worcester. (Doc. T99-044)

The next item on the agenda was the **Report of the Committee on Administration, Finance and Audit**. Trustee Fey reported that the Committee had met on April 28 and listed the actions taken at that time.

The first item for action is **Establishment of an Endowed Professorship in Cell Biology, UMASS Worcester**. It was moved, seconded and

VOTED: In accordance with Sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an Endowed Chair in Cell Biology at the University of Massachusetts Worcester to be known as the Vitold Arnett Professorship in Cell Biology;

And further, to name Dr. Thoru Pederson the first Vitold Arnett Professor. (Doc. T99-034)

The next item was **Establishment of the Eleanor Eustis Farrington Chair in Cancer Research and Appointment to Chair, UMASS Worcester**. It was moved, seconded and

VOTED: To establish an Endowed Chair in Cancer Research at the University of Massachusetts Worcester to be known as the Eleanor Eustis Farrington Chair in Cancer Research, and further, to appoint Peter Quesenberry, Director of the Cancer Center, as the first incumbent of the Farrington Chair. (Doc. T99-045)

The next item was **Faculty Dismissal Policy, UMASS Worcester**. It was moved, seconded and

VOTED: To approve the procedures for dismissal and removal of tenure from faculty members at the University of Massachusetts Medical School; further to rescind the dismissal procedures in Doc. T64-061 insofar as they have applied to the Medical School. (Doc. T99-049)

The next item was **Commercial Use of Radio Tower Space, UMASS Amherst**. It was moved, seconded and

VOTED: To authorize pursuant to Doc. T75-158 the Chancellor of the Amherst campus, or his or her designee, to prepare the necessary instruments to authorize governmental agencies and commercial entities to enter upon the land of the University at Mount Lincoln in Hampshire County for the purpose of installing and maintain receiving and/or transmitting electronic equipment; further, that the Treasurer of the University be empowered and authorized to execute all instruments on behalf of the Trustees of the University in furtherance of these matters. (Doc. T99-035)

The next item was **Amendment to Capital Plan, UMASS Amherst**. It was moved, seconded and

VOTED: To amend the University of Massachusetts Capital Plan 1999-2000 (Doc. T98-103) to include the proposed Integrated Sciences Facility at the University of Massachusetts Amherst.

The next item was **Amendments to Capital Plan, UMASS Worcester**. It was moved, seconded and

VOTED: To amend the University of Massachusetts Capital Plan 1999-2000 (Doc. T98-103) to include projects outlined in Doc. T98-103, as amended.

And,

To approve the use of Massachusetts Health and Educational Facilities Authority Financing for said Capital Plan.

And,

To request the Worcester City Campus Corporation to effectuate the financing, design and construction of such projects within said Capital Plan as the President shall determine to be advisable.

And,

To authorize the University to utilize revenues from non-state accounts to guarantee payments to the Worcester City Campus Corporation with regard to the financing, design, construction and/or leasing of space relating to projects within said Capital Plan as the President shall determine to be advisable.

And,

To authorize the President of the University in the name of and on behalf of the Trustees to take such actions, secure such government approvals, execute such agreements and grant such security interests in the revenues and assets of the University as he may determine to be advisable, necessary or convenient to effectuate said Capital Plan, including the making of a written request of the University of Massachusetts Building Authority to participate in projects within said Capital Plan, or to enter into arrangements in conjunction with the Worcester City Campus Corporation for tax-exempt financing issued through one or more qualified issuers in the Commonwealth of Massachusetts.

And further,

That these votes shall constitute "official intent" pursuant to the provisions of the United States Department of Treasury Regulations, including but not limited to Section 1.150-2.

The next item was **Amendments to Intellectual Property Policy, UMASS Worcester**. It was moved, seconded and

VOTED: To amend Doc. T96-040 as approved on April 11, 1996 by the Board of Trustees for the University of Massachusetts Worcester by striking the provisions of Section III.G.1.b and inserting in place thereof the following new section —

b. The remaining non-equity revenue will be distributed as follows:

•Fifteen percent (15%) to the CVIP to fund patents, CVIP operations, and research grants; provided that such amount shall be capped in each fiscal year at an amount equal to the highest amount budgeted for CVIP operations from the campus over the prior three fiscal years, whether through assessment or through revenue derived from licensing or both; provided further, that amounts in excess of this cap shall be utilized at the direction of the Chancellor, with the approval of the President, for endowment in the department or program of the inventor(s) or creator(s). Amounts distributed to CVIP and/or such endowment shall be divided ratably based upon all non-equity revenue received in any given fiscal year.

•Thirty percent (30%) to the inventor(s) or creator(s). In the case of multiple inventors or creators, their shares will be distributed as they unanimously agree at the time of the invention disclosure. If the inventors or creators cannot agree on the distribution between (among) them, their shares will be distributed in equal portions.

•Fifty-five percent (55%) to the campus of the inventor or creator; provided, that: Fifteen percent (15%) of the first seven hundred thousand dollars ($700,000) in non-equity revenue received by the campus in any fiscal year from any invention or creation shall be distributed to the department or program of the inventor(s) or creator(s); and

•Ten percent (10%) of amounts between seven hundred thousand one dollars ($700,001) and one million dollars ($1,000,000) in non-equity revenue received by the campus in any fiscal year from any invention or creation shall be distributed to the department or program of the inventor(s) or creator(s); and

•Five percent (5%) of amounts in excess of one million dollars ($1,000,000) in non-equity revenue received in any fiscal year by the campus from any invention or creation shall be distributed to the department or program of the inventor(s) or creator(s).

•If multiple departments or programs are involved, their shares will be distributed in the same manner as the distributions to the inventors or creators within such departments or programs.

Notwithstanding the distribution described above, the Chancellor, with the approval of the President, may pledge all non-equity revenues other than the portion allocated to the inventor(s) or creator(s) to meet the debt service obligations of the campus.

And by striking the provisions of Section III,G.2.a,b and c and inserting in place thereof the following new sections –

Acceptance of Equity – the University may accept an equity interest in a company, provided that before the CVIP agrees to accept equity, it must receive the approval of the Vice Chancellor for Research, the Vice President for Economic Development, and the University Treasurer. The equity received by the University in connection with the commercialization of Intellectual Property will be held until liquidation, with the proceeds distributed as follows:

a. First, to the extent the University is not fully reimbursed for out-of-pocket expenses from the non-equity revenue, the University will be reimbursed for any remaining out of-pocket expenses incurred in obtaining and maintaining patent, copyright, or other intellectual property protection for a specific item of Intellectual Property, and in evaluating and marketing such Intellectual Property.

b. The remaining proceeds from equity liquidation will be distributed as follows:

- Twenty-five percent (25%) for endowment in the department or program of the inventor(s) or creator(s).

- Seventy-five percent (75%) to the campus for endowment of research or scholarship.

Equity held within the University will be managed by the Treasurer. Equity may also be held on behalf of the University by the University of Massachusetts Foundation, Inc., or another outside investment advisor to minimize potential institutional conflicts of interest.

The next item was **Acquisition of Property, UMASS Worcester**. It was moved, seconded and

VOTED: That the President is hereby authorized and directed to request the University of Massachusetts Building Authority to acquire the White Building adjacent to the Jamaica Plain Campus, and that the Worcester campus enter into a contract with the purchaser for use of such property utilizing funds from the Biologics Laboratory Trust Fund. (Doc. T99-036)

Trustee Fey also reported that the Committee had heard reports on FY1999 Financial Indicators, FY1999 University Financial Ratios Analysis and FY1999 Financial Aid.

The next item was the **Report of the Audit Sub Committee**. Trustee Naughton reported that the Committee had requested an update on University Health Services, UMASS Amherst at the next meeting scheduled for July. He also voiced his concern with the Y2K issues.

The next item was the **Report of the Investment Sub Committee**. Trustee Fey reported for Trustee Dubilo and asked for the Board's approval of the **University of Massachusetts Treasury and Banking System Policy**. It was moved, seconded and

VOTED: That the University Treasurer shall report back to this committee at its next meeting on actions taken to assure that: all University revenue from whatever source are deposited and administered through the University banking system and held for investment by the University Treasurer and that all disbursements of any kind are made by the University Treasurer who will have access to University accounts in order to effect the proper accounting adjustments and treatments to reflect these transactions in the accounting system. (Doc. T99-047)

The next item was the **Report of the Committee of the Whole**. Chair Karam reported that the Committee had heard a report on the Performance Measurement System which assured the Trustees that the University is moving in the right direction.

Trustee Court gave a report on Student Evaluations and stressed the students' desire to work with the administration and faculty members with incorporating the evaluations as part of the review process.

The next item was the **Report of the Development Committee**. Trustee Hoff first introduced Mr. Joseph Cofield, the new President and Chief Executive Officer of the Foundation. Trustee Hoff informed the Trustees that the University is $11-12 million dollars ahead of last year in fundraising figures.

Trustee Hoff also reported that this year's Fundraising Gala would take place on October 6 and mentioned the fundraising seminar scheduled for May 12. Trustee Foley requested that these seminars be videotaped for Trustees unable to attend.

The next item was the **Report of the Committee on Personnel and Diversity**. Chair Karam thanked the members of the Committee for their time and dedication. Trustee Flores reported for the Committee and asked the Board to consider a **Personnel Action, UMASS Worcester**. It was moved, seconded and

VOTED: Pursuant to the provisions of Part II, Article 5.2 of Trustee Document T64-061, to remove John Mole from his position of Professor at the Medical School with tenure at the University of Massachusetts at Worcester and to dismiss him from the University of Massachusetts. (Doc. T99-052)

Trustee Flores thanked the members of the Committee, Attorney Lawrence Bench and Barbara DeVico for their work over the past year.

Under **Other Business** Chair Karam reported that **Department of Defense Exclusion List** includes newly appointed Trustees Karl White and Robert McCarthy. It was moved, seconded and

VOTED: WHEREAS, current Department of Defense Regulations contain a provision making it mandatory that the Chairman of the Board, the President, the Secretary, and the designated Facility Security Officer meet the personnel clearance requirements established for a contractor's facility clearance; and

WHEREAS, said Department of Defense Regulations permit the exclusion from the personnel clearance requirements of certain members of the Board of Trustees and other officers, provided that this action is recorded in the minutes.

NOW, THEREFORE, BE IT DECLARED that the Chairman of the Board, the President, the Secretary and the designated Facility Security Officer at the present time do possess, or will be processed for, the required security clearance; and

BE IT RESOLVED that in the future, when any individual enters upon any duties as Chairman of the Board, the President, the Secretary or the designated Facility Security Officer, such individual shall immediately make application for the required security clearance; and

BE IT RESOLVED FURTHER that the following members of the Board of Trustees and other officers shall not have, and can be effectively excluded from access to all classified information in the possession of the corporation and do not occupy positions that would enable them to affect adversely policies or practices in the performance of classified contracts for the Department of Defense or the User Agencies of its Industrial Security Program:

NAME	TITLE
Peter J. Berlandi	Trustee
Diane E. Bissonnette	Trustee
Daniel E. Bogan	Trustee
Eleanor M. Court	Trustee
Terrence A. Dolan	Trustee
Edward A. Dubilo	Trustee
Grace K. Fey	Trustee
Heriberto Flores	Trustee
Michael T. Foley	Trustee
William E. Giblin	Trustee
Charles J. Hoff	Trustee
Peter K. Lewenberg	Trustee
Robert M. Mahoney	Trustee
Robert B. McCarthy	Trustee

Christy P. Mihos	Trustee
Chad Molnar	Trustee
John M. Naughton	Trustee
Kerri E. Osterhaus	Trustee
Keith M. Tremblay	Trustee
Karl E. White	Trustee

The next item was **Appointments to the Trustee Governance Committee**. Chair Karam announced his intention to appoint Trustee Giblin as Chair of this Committee and Trustees Bissonnette, Fey, Flores and Mihos as members. Their report will be presented to the Board in August.

Trustee Giblin then commended Vice President Chmura and the Trustees' Office for their work on the new Trustee Orientation Manual.

Chair Karam then asked for a motion to go into **Executive Session** to discuss **Awards of Tenure, UMASS Amherst, UMASS Boston, Appointment with Tenure, UMASS Boston** and an **Honorary Degree, UMASS Amherst**. He indicated that the Board would not reconvene in open session.

It was moved, seconded and

VOTED: To enter Executive Session for the purpose of considering discuss **Awards of Tenure, UMASS Amherst, UMASS Boston, Appointment with Tenure, UMASS Boston** and an **Honorary Degree, UMASS Amherst**.

Chair Karam voted for the motion as did Trustees Bogan, Dolan, Fey, Flores, Foley, Giblin, Hoff, Lewenberg, Mihos, Molnar, Naughton and White.

The time was 10:20 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARTMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE BOARD OF TRUSTEES

Wednesday, August 4, 1999; 11:00 a.m.
Chancellor's Conference Room
Quinn Administration Building
University of Massachusetts Boston
Boston, Massachusetts

Committee Members Present: Chair Karam; Vice Chair Lewenberg; Trustees Avakian, Bissonnette, Bogan, Carey, Dubilo, Fey, Flores, Foley, Giblin, Hoff, MacDonald, McCarthy, Mihos, Naughton, Rogers and White

Committee Members Absent: Trustees Agganis, Berlandi, and Mahoney

University Administration: President Bulger; General Counsel O'Malley; Vice Presidents Botman, Julian, Lenhardt and Chmura; Chancellors Scott, Penney, Cressy, Hogan and Lazare

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor Langley, UMASS Dartmouth; Professor Carter, UMASS Lowell; Dr. Cooke, UMASS Worcester

Guests: Mr. Coish, President, UMASS Amherst Chapter of Local 509, SEIU; Mr. Martin, Vice President, AFSCME, UMASS Amherst Chapter; Ms. Rosemary Riley, President, USA/MTA, UMASS Amherst

Chair Karam convened the meeting at 11:06 a.m.

The first item on the agenda was **Consideration of the Minutes of the Previous Meeting of the Board**. It was moved, seconded and

VOTED: To approve the minutes of the May 5, 1999 meeting of the Board.

The next item on the agenda was the **Chair's Report**. Chair Karam asked for a moment of silence in memory of Dr. Michael K. Hooker, former President of the University of Massachusetts, who had passed away this past June.

Chair Karam introduced the newest members to the Board: Seth Avakian, Student Trustee from Amherst, Edwin Rogers, Student Trustee from Boston, Brian MacDonald, Student Trustee from Dartmouth and Madeleine Carey, Student Trustee from Worcester. The Student Trustee seat from the Lowell campus is currently vacant.

Chair Karam reported that three Union representatives from the Amherst campus had requested to speak before the Board today; Chair Karam then read the following statement:

"The Board has received a number of requests from union representatives to address the Board. The collective bargaining agreement between the University and SEIU specifically provides for such an opportunity and the request from that union representative is granted. Two other requests are not based specifically on collective bargaining agreements but are being granted solely as a courtesy, and not as an acknowledgement of any right or practice to address the Board. Each representative has been allotted five minutes to make their respective presentations. There will be no discussion or questions due to the press of Board business. Each representative should identify for the record him or herself, the union represented, and confine your remarks to the time allotted."

Ms. Francis Martin, Vice President, AFSCME, UMASS Amherst Chapter, Ms. Rosemary Riley, President, USA/MTA, UMASS Amherst and Mr. Thomas Coish, President of the UMASS Amherst Chapter of Local 509, SEIU each addressed the issue of Privatization on the Amherst campus.

Following the remarks made by the Union Representatives, Trustee Edwin Rogers gave the Student Trustee Report which included his many reasons for attending the UMASS Boston campus. Trustee Rogers reminded the Board that opening ceremonies for the Vietnam Moving Wall, a touring replica of the Washington Memorial, would be held tonight and all are invited. This is a very important event and volunteers have been coordinated by the Student Veterans Center and the Student Senate.

Trustee Rogers then introduced a coalition of Japanese students from Chukyo University who sang a song for the members of the Board.

Chair Karam thanked Peter Cressy, who is stepping down from his position as Chancellor of the Dartmouth campus for a new position in Washington, D.C., for his dedication to the Dartmouth campus and success in the southeastern area of Massachusetts.

Chancellor Lazare gave a short presentation on the new research building which will be adjacent to the Medical School. It is expected to be completed by August of 2001.

The next item on the agenda was the **President's Report**. President Bulger thanked Trustee Rogers for his work and welcomed the new Trustees to the Board. He reported that Mr. Titus, Athletic Director for the Boston campus had been recognized by the Boston Globe for his work with the Shaw's Pro Summer League, a seven-day professional basketball exhibition featuring members of the NBA.

President Bulger continued his report with news of James Hamos and his work with Vice President Botman and K-12, the excitement generated by the merger of the Eunice Kennedy Shriver Center with the Medical School, and the success of the Lowell campus with commercial ventures.

Chair Karam introduced the **Consent Agenda**. It was moved, seconded and

VOTED: To approve the following votes on the Board Consent Agenda:

•Administration and Finance

World Wide Web Policy (Doc. T99-059)

The President of the University shall see to the development and implementation of guidelines governing University participation in the World Wide Web (WWW), which he may amend from time to time as appropriate or as required by law. If any University policy conflicts with federal or state statute, the applicable statute shall apply.

Such guidelines shall make provision for the design, development and maintenance of official University pages or publications on the World Wide Web and for the assignment of responsibility for assuring that such official publications are appropriately adapted to the mission of the University. The guidelines shall also provide specifications and requirements for the posting on University Internet or computing facilities of non-official web pages or publications by faculty, students, staff, organizations or others, provided that the University shall retain the right, subject only to constitutional protections of free speech and press, to remove any such web page or publication found to be in violation of any copyright, law, rule, regulation or University policy or procedure, or the rights of any person or organization, or to contain matter which is fraudulent, threatening or obscene. No person or organization shall be allowed to use University Internet or computing facilities to publish web pages for personal business or financial gain except as expressly permitted by other University policies. The guidelines issued pursuant to this policy shall also provide appropriate safeguards for the protection of private or confidential data.

Compliance with and implementation of the guidelines shall be a responsibility of any University employee using University Internet or computing facilities.

Upon approval of the guidelines or any amendment thereto, the President shall forward the guidelines to the Secretary of the Board of Trustees. The President, together with the Chancellors or their designees, shall also establish specifications and timetables for the development of supplementary World Wide Web procedures on the campuses. Campus procedures must adhere to this policy and the President's guidelines.

Business Continuity and Planning Policy (Doc. T99-060)

The President of the University shall develop and adopt guidelines to require each campus to develop, implement and test business continuity plans for its critical business processes and data systems. The President may, from time to time, amend the guidelines as appropriate or as required by law.

Such guidelines shall provide for the protection of the University's data and record-keeping systems against disruption so that the University business may continue uninterrupted. The guidelines shall make provision for: (1) defining and ranking in priority those data systems or business processes which are critical to University operations; (2) outlining responsibilities for business continuity planning, including assessment and analysis of the risk of disruption to each such process or data system; and (3) formulating plans for the prompt resumption of business functions in case of disruption.

The President, together with the Chancellors or their designees, shall establish guidelines and timetables for business continuity plan development on the campuses. Campus procedures must adhere to the President's guidelines.

Compliance with and implementation of the guidelines and applicable campus procedures shall be the responsibility of all University employees.

Upon approval of the guidelines or any amendment thereto, the President shall forward the guidelines to the Secretary of the Board of Trustees.

Records Management, Retention and Disposition Policy (Doc. T99-061)

The President of the University shall adopt guidelines to require that each campus institute records management, retention and disposition procedures for the proper management of University records. The President may, from time to time, amend the guidelines as appropriate or as required by law.

Such guidelines shall be consistent with Massachusetts General Laws, c. 66 and other applicable state statutes governing retention of public and official records and disposition of obsolete records, as well as with any contractual commitments or federal law or regulation which may apply. The guidelines shall provide for the proper maintenance and protection of archived records, and for the adoption of schedules for disposition of obsolete records, which schedules shall to the extent practicable given University needs and requirements be consistent with schedules adopted by the State Records Conservation Board.

Compliance with and implementation of the guidelines and any supplementary procedures shall be the responsibility of all University employees.

Upon approval of the guidelines or any amendment thereto, the President shall forward the guidelines to the Secretary of the Board of Trustees. The President, together with the Chancellors or their designees, shall also establish specifications and timetables for the development of supplementary records, management, retention and disposition procedures and data retention/disposition schedules on the campuses. Campus procedures must adhere to this policy and the President's guidelines.

Establishment of Endowed Chairs, UMASS Amherst, UMASS Boston, (Doc. T99-062)

In accordance with sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair in education at the University of Massachusetts Amherst to be known as the Alma and Joseph Keilty Endowed Chair in Education.

And,
In accordance with sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair in education at the University of Massachusetts Boston to be known as the Paul H. Tucker Endowed Distinguished Professorship in Art.

And further,
In accordance with sections 1A(e) and 11 of Chapter 75 of the General Laws, to establish an endowed chair in art at the University of Massachusetts Boston to be known as the Alton J. Brann Endowed Distinguished Professorship in Science and Mathematics.

•Audits
Purchase Card Review, President's Office and Central Services **(Doc. T99-067)**

Y2K Preparedness Update **(Doc. T99-068)**

Supplemental Health Benefits Plan Audited Financial Statements, FY98, KPMG Peat Marwick **(Doc. T99-073)**

University Health Services – Student Health Trust Fund Management **Letter (Doc. T99-074)**

University Auditor's Operation Report **(Doc. T99-070)**

Approval of Audit Firm (**Doc. T99-071**)
To select the firm of Meyers Brothers, P.C., Certified Public Accounts and Business Consultants of Longmeadow, Massachusetts as the audit firm for the annual audit of WFCR-FM Radio, Amherst campus, as recommended by the University Auditor's memorandum of July 8, 1999.

The next item on the agenda was the **Report of the Committee on Academic Affairs, Student Affairs and Athletics**. Trustee Bissonnette reported that the Committee had met on July 29. The first item for action was **Appointments as Distinguished Professor, UMASS Amherst, UMASS Boston**. It was moved, seconded and

VOTED: To concur with the President in the appointment of Derek R. Lovley as Distinguished Professor at the University of Massachusetts Amherst.

And further,

To concur with the President in the appointment of Richard A. Horsley as Distinguished Professor of Liberal Arts and the Study of Religion at the University of Massachusetts Boston.

The next item was **Appointment to the Paul Hayes Tucker Distinguished Professorship in Art, UMASS Boston**. It was moved, seconded and

VOTED: To concur with the President in the appointment of Paul Hayes Tucker to the Paul Hayes Tucker Distinguished Professorship in Art at the University of Massachusetts Boston.

The next item was **Alcohol and Drug Policies**. It was moved, seconded and

VOTED: Each Chancellor is directed to submit for Board approval a proposed amendment to the respective campus alcohol and drug policy providing for permissive notification of parents or legal guardians of students under twenty-one years of age who have been determined to be in violation of the campus alcohol or controlled substance policy.

Trustee Avakian noted the alcohol education program currently in place on the Amherst campus.

Trustee Bissonnette mentioned the discussion items: an update on General Education, Merit Scholars and the Division II Northeast 120 Conference Membership (UMASS Lowell).

The next item was **Establishment of a School of Marine Science and Technology, UMASS Dartmouth**. It was moved, seconded and

VOTED: To authorize the establishment of a School of Marine Science and Technology at the University of Massachusetts Dartmouth effective February 1, 2000. This School shall be linked to the intercampus graduate program in Marine Sciences and Technologies once established upon the recommendation of the intercampus Working Group on Marine Sciences and Technology. This School will have the right to recruit and hire faculty on tenure or tenure track lines and to recommend the award of tenure to those who are eligible. The administrative head of this unit will report to the campus Provost. The School will develop joint masters and doctoral programs in collaboration with other campuses of the University through the intercampus graduate program in Marine Sciences and Technologies and function in close collaboration with the intercampus program. The administration is authorized and directed immediately to take all necessary steps to establish the School consistent with any collective bargaining agreements or obligations that may apply.

In Trustee Fey's absence, Trustee Naughton gave the report for the Committee on Administration, Finance and Audit.

The first item for action was **Fiscal Year 2000 Allocation of State Funds**. It was moved, seconded and

VOTED: To direct the President to develop an allocation plan for the amount appropriated for the University in Line Item 7100-0200 of the state appropriation act for fiscal year 2000, and to notify the Board of Trustees of said plan within 40 days of the passage of said appropriation act, and the House and Senate Committees on Ways and Means within 45 days of the passage of said act.

The next item was **Eunice Kennedy Shriver Center for Mental Retardation University of Massachusetts Medical School Merger**. It was moved, seconded and

VOTED: WHEREAS, The University of Massachusetts Worcester and the Eunice Kennedy Shriver Center for Mental Retardation, Inc. have reached agreement as to the terms of their combination; and

WHEREAS, by this combination the University of Massachusetts Worcester will be both preserving an important asset to the scientific and mental retardation communities within the Commonwealth and furthering the University's academic, training, research and service missions; and

WHEREAS, by this combination the University of Massachusetts Worcester will be bringing a number of outstanding scientists and educators from the Shriver Center into the faculty of the University of Massachusetts Worcester; and,

WHEREAS, by this combination the University of Massachusetts Worcester strengthens its relationship with the Commonwealth's Department of Mental Retardation.

NOW THEREFORE IT IS VOTED to authorize the President to take all actions necessary, or to subdelegate such authority to the Chancellor, to effectuate the merger/combination of the Eunice Kennedy Shriver Center for Mental Retardation, Inc. into the University of Massachusetts Medical School, including entering into such agreements with the Department of Mental Retardation as are necessary to support the mission and purpose of this combination.

The next item was **Alumni Center and Office, UMASS Amherst**. It was moved, seconded and

VOTED: WHEREAS, University of Massachusetts Building Authority (the "Authority") is authorized by Chapter 773 of the Acts of 1960, as amended, among other things, to provide dormitories, dining commons and other buildings and structures for the use of the University of Massachusetts (the "University"), its students, staff and their dependents and certain organizations related to the University, to alter, enlarge, reconstruct, remodel and do other work in or upon or respecting any building or structure, to provide and install furnishings, furniture, machinery, equipment and facilities in or for or related to any such building or structure and to initiate projects for such purposes upon written request made by authority of the Board of Trustees (the "Trustees") of the University; and

WHEREAS, the Authority is further authorized by said Chapter 773 to acquire real and personal property by lease, purchase and otherwise; and

WHEREAS, in the judgment of the Trustees it is in the best interests of the University, its students, staff and their dependents and said organizations that the Authority initiate the project described below;

NOW, THEREFORE, BE IT RESOLVED THAT

1. The Vice President, Treasurer, of the University be and he hereby is authorized (a) in the name and on behalf of the Trustees to make a written request of the Authority that the Authority initiate a project (the "Project") consisting of the acquisition, renovation and expansion of the Manor House, so-called, located on Hadley Farm, so-called in Hadley, Massachusetts, together with such land of said Hadley Farm as deemed advisable by said Authority to provide for the proper functioning of said Manor House as an office building and events center and to further request that the Authority make the use of said Project available to the University of Massachusetts Alumni Association Amherst on said terms that are acceptable to said Authority. Said Association being hereby declared a University Affiliate for the purpose of said Chapter 773.

2. For financing purposes the Project may be undertaken separately or together with other projects of the Authority requested in writing pursuant to authority of the Trustees.

3. The President of the University and all other officers of the University be and they hereby are and each acting singly is authorized and directed to request the Commissioner of Administration to approve in writing the undertaking by the Authority of the Project and to do such things and to take other action as the officer and officers so acting shall, as conclusively evidenced by their taking action hereby authorized, deem necessary or desirable to be done or taken to carry into effect the matters hereby authorized.

4. The University hereby declares its official intent under Section 1.150-2(d)(1) and (e) of the Treasury Regulations as follows:

The University reasonably expects that they shall be reimbursed from the proceeds of the Authority Bonds expenditures temporarily advanced for the Project by the University, the maximum principal amount of Authority Bonds expected to be issued, all or a portion of the proceeds of which are reasonably expected to be used for such reimbursement purposes, being $4,000,000.

Trustee Naughton noted that the Audit Reports had been approved under the Consent Agenda vote.

Chair Karam reported that the **Committee of the Whole** had met earlier in the day and had heard reports on Health Services at the Amherst campus, a Board of Trustee follow-up to the last Retreat and a status report on the Ad Hoc Committee on Auxiliary Services.

The next item was the **Report of the Development Committee**. Trustee Hoff reported that the campuses are currently reviewing fundraising goals for the new millennium. The fundraising gala for 1999 has been canceled and will be held in 2000. There will be other fundraising opportunities such as a Boston Pops concert and a golf tournament in the spring.

The next item was the **Report of the Trustee Governance Committee** by Trustee Giblin. It was moved, seconded and

VOTED: To confirm and approve the Officers and Committee Chairs of the Board of Trustees set forth in Doc. T99-075, all to serve until the next annual meeting of the Board.

Under **Other Business** Chair Karam reported on an **Appointment of Interim Chancellor, UMASS Dartmouth**. President Bulger expressed his pleasure at Jean MacCormack's willingness to take on this important assignment.

It was moved, seconded and

VOTED: Upon the recommendation of the President, to appoint Jean F. MacCormack as Chancellor (Interim) of the University of Massachusetts Dartmouth, who shall serve at the pleasure of the President, with such salary and other terms and conditions as shall be determined by the President, in consultation with the Chair. The Interim Chancellor may be a candidate for appointment as Chancellor.

Chair Karam reported that Jean MacCormack has been well-received by members of the Dartmouth community and asked for a round of applause for the first female Chancellor on the Dartmouth campus.

Chancellor Cressy then thanked the Board for the honor of serving as Chancellor of the Dartmouth campus and expressed his pleasure with Ms. MacCormack's appointment.

The next item was **Department of Defense Exclusion List.** It was moved, seconded and

VOTED: WHEREAS, current Department of Defense Regulations contain a provision making it mandatory that the Chairman of the Board, the President, the Secretary, and the designated Facility Security Officer meet the personnel clearance requirements established for a contractor's facility clearance; and

WHEREAS, said Department of Defense Regulations permit the exclusion from the personnel clearance requirements of certain members of the Board of Trustees and other officers, provided that this action is recorded in the minutes.

NOW, THEREFORE, BE IT DECLARED that the Chairman of the Board, the President, the Secretary and the designated Facility Security Officer at the present time do possess, or will be processed for, the required security clearance; and

BE IT RESOLVED that in the future, when any individual enters upon any duties as Chairman of the Board, the President, the Secretary or the designated Facility Security Officer, such individual shall immediately make application for the required security clearance; and

BE IT RESOLVED FURTHER that the following members of the Board of Trustees and other officers shall not have, and can be effectively excluded from access to all classified information in the possession of the corporation and do not occupy positions that would enable them to affect adversely policies or practices in the performance of classified contracts for the Department of Defense or the User Agencies of its Industrial Security Program:

NAME	TITLE
Peter J. Berlandi	Trustee
Diane E. Bissonnette	Trustee
Daniel E. Bogan	Trustee
Eleanor M. Court	Trustee
Terrence A. Dolan	Trustee

Edward A. Dubilo	Trustee
Grace K. Fey	Trustee
Heriberto Flores	Trustee
Michael T. Foley	Trustee
William E. Giblin	Trustee
Charles J. Hoff	Trustee
Peter K. Lewenberg	Trustee
Robert M. Mahoney	Trustee
Robert B. McCarthy	Trustee
Christy P. Mihos	Trustee
Chad Molnar	Trustee
John M. Naughton	Trustee
Kerri E. Osterhaus	Trustee
Keith M. Tremblay	Trustee
Karl E. White	Trustee

Trustee McCarthy then made a motion that the Board reconsider their action with regards to seeking an RFP for the auxiliary services on the Amherst campus. The motion was not seconded.

Chair Karam then asked for a motion to go into **Executive Session** to discuss **Transfer of Tenure, UMASS Amherst** and **Appointments with Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth** and **Awards of Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth, UMASS Lowell, UMASS Worcester**. He indicated that the Board would not reconvene in open session.

It was moved, seconded and

VOTED: To enter Executive Session for the purpose of considering discuss **Transfer of Tenure, UMASS Amherst** and **Appointments with Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth** and **Awards of Tenure, UMASS Amherst, UMASS Boston, UMASS Dartmouth, UMASS Lowell, UMASS Worcester**.

Chair Karam voted for the motion as did Trustees Bissonnette, Bogan, Carey, Dubilo, Flores, Foley, Giblin, Hoff, Lewenberg, McCarthy, Mihos, Naughton and White

The time was 12:10 p.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

AMHERST•BOSTON•DARTMOUTH•LOWELL•WORCESTER

MINUTES OF THE MEETING OF THE BOARD OF TRUSTEES

Wednesday, November 10, 1999; 9:15 a.m.
Massachusetts Room
Mullins Center
University of Massachusetts
Amherst, Massachusetts

Trustee Members Present: Chair Karam; Vice Chairs Fey and Giblin; Trustees Agganis, Avakian, Bissonnette, Carey, Dubilo, Duquette, Flores, Foley, Lewenberg, MacDonald, McCarthy, Mihos, Naughton, Rogers and White

Trustee Members Absent: Trustees Bogan, Hoff and Mahoney

University Administration: President Bulger; General Counsel O'Malley; Vice Presidents Botman, Julian, Lenhardt and Chmura; Chancellors Scott, Penney, MacCormack, Hogan and Lazare; Mr. Cofield, President & CEO, UMASS Foundation

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor Langley, UMASS Dartmouth; Professor Carter, UMASS Lowell

Chair Karam convened the meeting at 9:20 a.m.

The first item on the agenda was **Consideration of the Minutes of the Previous Meeting of the Board**. It was moved, seconded and

VOTED: To approve the minutes of the August 4, 1999 meeting of the Board.

Chair Karam asked for the **Student Trustee Report, UMASS Amherst**. Trustee Avakian gave a presentation on the Student Government Association's Report "Blueprint For Action – Building a Bridge through the New Millennium". The report detailed the many issues facing the campus including safety and security issues, women's issues, campus drinking, the Commonwealth College, Admissions and Advising. Following the report, Trustee Avakian requested the Trustees assist the Student Government in advocating for the needed changes.

The next item on the agenda was the **President's Report**. President Bulger reported that the University has become increasingly attractive to students across the Commonwealth and beyond the state's borders. There has been a double-digit increase in fall freshmen applications; the overall freshmen class is showing an increase of 4% over last year; transfer applications are up

20% for the system and SAT scores and GPA's continue to climb. The success of these figures is attributed to the faculty, enrollment management and admissions staff.

President Bulger reported that Daniel Hudgens and David Shull from the Environment, Coastal and Ocean Science Graduate Program at UMASS Boston have won an award from the National Oceanic and Atmospheric Administration (NOAA). Michael Winn, a senior football player from the Amherst campus has been selected as a 1999 National College Scholar Athlete by the National Football Foundation.

Joseph Goldstein, Dean of the College of Engineering on the Amherst campus, has been selected to receive the Henry Clifton Sorby Award of the International Metallographic Society. The University has earned more than $4 million dollars from CVIP efforts, more than double last year's revenue. Mr. Joseph McGuirl, Executive Director of Commercial Ventures and Intellectual Property, was recently honored by Mass High Tech Magazine for his work in this area. The Worcester campus was recently honored by Massachusetts Medical State with a 1999 leadership award.

Chair Karam introduced the **Consent Agenda**. It was moved, seconded and

VOTED: To approve the following votes on the Board Consent Agenda:

- Audits

University Health Services (Supplemental Health Benefits Plan Trust Fund), UMASS Amherst (Doc. T99-097)

University Health Services (Student Health Trust Funds), UMASS Amherst (Doc. T99-098)

Y2K Preparedness Survey Results (Doc. T99-087)

University Auditor's Operation Report (Doc. T99-093)

Chair Karam noted the Board's concern with the University's Health Services and the climate surrounding health care and would like these issues resolved in the next six months.

The next item on the agenda was the **Report of the Committee on Academic Affairs, Student Affairs and Athletics**. Trustee Bissonnette reported that the Committee had met on October 28. The first item for action was **Student Legal Services Office, UMASS Boston**.

It was moved, seconded and

VOTED: WHEREAS the SUNSET PROVISION of Doc. T97-034 states that the authorization for the operation of the Student Legal Services Office shall remain in effect until December 15, 1999.

WHEREAS the SUNSET PROVISION also states that on December 15, 1999 the Office will cease to operate unless before that time the Board of Trustees has acted affirmatively to approve the continued operation of the Office.

WHEREAS the student body agrees that there is a need for some form of student legal services on the UMass Boston campus; that they need to review different models for providing these services and should have input in all decisions regarding the type of service provided.

WHEREAS the Senate voted on August 18, 1999 to ask their Student Trustee to petition the Board of Trustees to extend the SUNSET PROVISION of Doc. T97-034 to June 15, 2000.

WHEREAS Chancellor Penney has reviewed the Student Legal Service Office operations, as stated in the SUNSET PROVISION of Doc. T97-034, and concurs with the Senate that the Office was well utilized by students and an extension of the SUNSET PROVISION would allow the students time to explore other models.

THEREFORE be it resolved as follows:

The SUNSET PROVISION set forth in Trustee Doc. T97-034, is extended from December 15, 1999 to, and including, June 15, 2000.

The next item was **Alcohol and Drug Policy, UMASS Dartmouth, UMASS Lowell**. It was moved, seconded and

VOTED: To approve the parental notification and other revisions to the Lowell Alcohol and Drug Policy as contained in Doc. T93-116, as amended.

And further,

To approve the parental notification and other revisions to the Dartmouth Alcohol and Drug Policy as contained in Doc. T93-116, as amended.

The next item was **Appointment to the Haidak Chair in Medical Education, UMASS Worcester**. It was moved, seconded and

VOTED: To concur with the President in the appointment of Aaron Lazare to the Haidak Chair in Medical Education at the University of Massachusetts Worcester. (Doc. T99-101)

Trustee Bissonnette also reported that the Committee had heard reports on Academic Quality Assessment and Development (AQAD) and the status of the I-495 Center for Professional Education.

The next item on the agenda was the report of the Committee on Administration, Finance and Audit. Trustee Dubilo reported that the Committee had met on October 27. The first item for action was the **FY 1999 University Financial Report**.

It was moved, seconded and

VOTED: To accept the FY 1999 University Financial Report as contained in Doc. T99-088.

The next item was **FY 1999 Treasurer's Investment Report**.

It was moved, seconded and

VOTED: To accept the FY 1999 Treasurer's Investment Report, as contained in Doc. T99-089.

The next item was **FY 2000 University Operating Budget**.

It was moved, seconded and

VOTED: To approve the FY 2000 Operating Budget for the University of Massachusetts, as contained in Doc. T99-090.

The next item was **FY 2001 Budget Request Guidelines**.

It was moved, seconded and

VOTED: To authorize the President to prepare and submit the Fiscal Year 2001 State Appropriation request. (Doc. T99-091)

The next item was **Capital Plan Update and Request for the University of Massachusetts Building Authority to Undertake Certain Capital Projects**.

It was moved, seconded and

VOTED: To approve the FY 2000 Capital Plan for the University, as contained in Doc. T99-092.

And further,

WHEREAS, the University of Massachusetts Building Authority (the "Authority") was created by Chapter 773 of the Acts of 1960 of the Commonwealth of Massachusetts (the "Commonwealth") (said Chapter 773, as amended, being hereinafter called the "Enabling Act") as a body politic and corporate and a public instrumentality of the Commonwealth;

WHEREAS, the Authority is created by the Enabling Act for the general purposes of aiding and contributing to the performance of the educational and other purposes of the University of Massachusetts (the "University") by providing dormitories, dining commons and other buildings and structures for the use of the University, its students, staff and their dependents and for lease to or use by an organization or association, in any form, of students or others the activities of which are a part of the activities at the University and subject to regulation by the Board of Trustees of the University (the "Trustees"), a research, foundation or other research organization the operation of which in conjunction with the University is approved by the Trustees or other entity and activities of which are approved by the Trustees as furthering the purposes of the University;

WHEREAS, the Authority is authorized by the Enabling Act, among other things,

(a) To construct buildings or structures and to acquire, add to, alter, enlarge, reconstruct, remodel and do other work in or upon or respecting any building or structure, in each case upon written request made by authority of the Trustees; and to provide and install furnishings, furniture, machinery, equipment, facilities, approaches, driveways, walkways, parking areas, planting and landscaping in or for or related to any such building or structure; provided that such approaches, driveways, parking areas, planting and landscaping be approved by authority of the Trustees;

(b) To borrow money from time to time to achieve any one or more of its corporate purposes and to refund obligations earlier incurred for any such purpose and for refunding, and to issue and sell its revenue bonds and notes therefor, payable solely from its revenues;

WHEREAS, in the judgment of the Trustees it is in the best interests of the University, its students, staff and their dependents and said organizations that the Authority initiate the projects described by the following:

NOW THEREFORE, BE IT RESOLVED THAT:

1. The President of the University be and he hereby is authorized in the name and on behalf of the Trustees to make a written request of the Authority that the Authority initiate

(a) any or all of the projects set forth in Doc. T99-092 attached hereto; and

(b) any other renovation, repair, remodeling or other work in or upon or respecting any building or structure owned or used by the University or the Authority, or the provision, installation, renovation, repair or remodeling of or other work upon or respecting any furnishings, furniture, machinery, equipment or facilities with respect to any such building or structure, all as may be requested of the Authority in writing from time to time by the President or Vice President and Treasurer of the University, the making of any such request being hereby authorized;

2. The projects to be initiated by the Authority in accordance with the request authorized to be made in Section 1 of this resolution may in the discretion of the Authority be undertaken separately or together for financing purposes; and

3. The President of the University and all other officers of the University be and they are and each acting singly is authorized and directed to request the Commissioner of Administration to approve in writing the undertaking by the Authority of the projects a request for which is hereby authorized and to do such other things and to take such other action as to the officer or officers so acting shall, as conclusively evidenced by their taking the action hereby authorized, deem necessary or desirable to be done or taken to carry into effect the matters hereby authorized.

The next item was **Technical Correction Votes Relative to the Current HEFA Financing**.

It was moved, seconded and

VOTED: To amend the vote adopted by the Board of Trustees on February 3, 1999 relative to the creation of a Revolving Pool Loan Program by striking out in the fourth sentence thereof the words "will be subject to appropriation" and by adding at the end of said sentence the words "and the President or his designee is authorized to

agree, on behalf of the University, with HEFA to make such loan secured or unsecured and payable from such funds and revenues of the University as he may deem appropriate and as may be permitted by law, including without limitation St. 1960, c.773, s.19A, as amended." The remainder of said vote is hereby confirmed.

And further,

To amend the vote adopted by the Board of Trustees on May 5, 1999 relative to the second amendment to the University of Massachusetts Capital Plan 1999-2000 (Doc. T98-103, as amended) (i) by striking out in the second clause the words "for said Capital Plan" and inserting in place thereof the words "for such projects within said Capital Plan as the President shall determine to be advisable," (ii) by striking out in the third clause the words "revenues from non-state accounts" and inserting in place thereof the words "such funds and revenues of the University as the President shall deem appropriate and as may be permitted by law, including without limitation St. 1960, c.773, s19A, as amended," and (iii) by striking out the fifth clause and inserting in place thereof the words "To authorize the President of the University in the name of and on behalf of the Trustees to take such actions, secure such government approvals, execute such agreements and provide for such terms and sources of repayment, on a secured or unsecured basis, as he may deem appropriate and as may be permitted by law (including without limitation St. 1960, c.773, s19A, as amended), including the making of a written request of the University of Massachusetts Building Authority to participate in projects within said Capital Plan, or to enter into arrangements, which may be in conjunction with the Worcester City Campus Corporation, for tax-exempt financing issued through one or more qualified issuers in the Commonwealth of Massachusetts." The remainder of said vote is hereby confirmed and extended to the University of Massachusetts Capital Plan 2000-2001. (Doc. T99-017, as amended)

The next item was **Authorization for Worcester 403(b) Program**.

It was moved, seconded and

VOTED: In accordance with the authority vested in the University Board of Trustees, the President shall have the authority to establish new pension, annuity, or deferred compensation plans. Such plans shall be administered by the Office of the Treasurer in accordance with Sections 401, 403, 457 or other appropriate provisions of the Internal Revenue Code, and in accordance with Administrative Delegation. (Doc. T99-094)

The next item was **Authorization for Implementation of Alternative Fringe Programs**.

It was moved, seconded and

VOTED: The Personnel Policy for Non-Unit Professional Staff is hereby amended by adding the following new section:

VII. ALTERNATIVE FRINGE BENEFITS

In accordance with the authority vested in the University Board of Trustees, as such authority may be supplemented by the provisions of Chapter 163 of the Acts of 1997, the President shall have the authority to establish, approve and amend an alternative program of employee fringe benefits including, but not limited to compensated absences, industrial accident coverage, and group insurance coverage.

Such programs may be made applicable to such campuses, groups of employees, professional staff and and/or faculty, or subgroups thereof, including those subject to collective bargaining agreements, at the discretion of the President, subject to the University's obligation to bargain in good faith. (Doc. T94-023, as amended)

The next item was **Approval of Facilities Naming**.

It was moved, seconded and

VOTED: To approve the naming of the Learning Center at the University of Massachusetts Worcester the Allan S. Goff Learning Center; and

To approve the naming of an auditorium at the University of Massachusetts Worcester the Jacob Hiatt Auditorium; and

To further approve the naming of an auditorium at the University of Massachusetts Worcester the Jacqueline F. Lazare Auditorium. (Doc. T99-096)

The next item was the report of the **Audit Subcommittee**. Trustee Naughton reported that the audit reports were discussed in detail at the last Committee meeting. The report on the Y2K situation shows the University in good shape.

The next item on the agenda was the report of the **Committee of the Whole**. Chair Karam reported that the Board had heard reports from the Chancellors about their strategies for campus financial planning. He also commended Trustee White for his report on Distance Learning and Corporate Education and noted that issues surrounding Intelligent Autonomy and University Staffing will be reported to the Board in the future.

The next item was the report of the **Development Committee**. Mr. Cofield, President and CEO of the UMASS Foundation reported on FY2000 Fundraising efforts. He noted the success of the outreach program at the Lowell campus.

Chair Karam reported that the capital campaign efforts would include three fundraising events next year.

Under **Other Business,** Chair Karam reported that the **Department of Defense List** was a routine item adding Trustee Duquette to the exclusion list.

It was moved, second and

VOTED: WHEREAS, current Department of Defense Regulations contain a provision making it mandatory that the Chairman of the Board, the President, the Secretary, and the designated Facility Security Officer meet the personnel clearance requirements established for a contractor's facility clearance; and

WHEREAS, said Department of Defense Regulations permit the exclusion from the personnel clearance requirements of certain members of the Board of Trustees and other officers, provided that this action is recorded in the minutes.

NOW, THEREFORE, BE IT DECLARED that the Chairman of the Board, the President, the Secretary and the designated Facility Security Officer at the present time do possess, or will be processed for, the required security clearance; and

BE IT RESOLVED that in the future, when any individual enters upon any duties as Chairman of the Board, the President, the Secretary or the designated Facility Security Officer, such individual shall immediately make application for the required security clearance; and

BE IT RESOLVED FURTHER that the following members of the Board of Trustees and other officers shall not have, and can be effectively excluded from access to all classified information in the possession of the corporation and do not occupy positions that would enable them to affect adversely policies or practices

in the performance of classified contracts for the Department of Defense or the User Agencies of its Industrial Security Program:

NAME	TITLE
Michael J. Agganis	Trustee
Seth D. Avakian	Trustee
Diane E. Bissonnette	Trustee
Daniel E. Bogan	Trustee
Madeleine R. Carey	Trustee
Edward A. Dubilo	Trustee
Bradley S. Duquette	Trustee
Grace K. Fey	Trustee
Heriberto Flores	Trustee
Michael T. Foley	Trustee
William E. Giblin	Trustee
Charles J. Hoff	Trustee
Peter K. Lewenberg	Trustee
Brian T. MacDonald	Trustee
Robert M. Mahoney	Trustee
Robert B. McCarthy	Trustee
Christy P. Mihos	Trustee
John M. Naughton	Trustee
Edwin Rogers	Trustee
Karl E. White	Trustee

The next item was **Naming of the Football Field, UMASS Dartmouth**. Chair Karam reported that Peter Cressy, former Chancellor of the Dartmouth campus, has been instrumental in raising funds for athletic activities as well as providing contributions of his own. It is therefore appropriate that the Board name the football field in honor of Peter Cressy and his family.

It was moved, seconded and

VOTED: To name the football field at the University of Massachusetts Dartmouth, Cressy Field, in honor of Peter H. Cressy's family and to acknowledge the former Chancellor's dedication to the University and his successful fundraising efforts. (Doc. T99-102)

Chair Karam then asked for a motion to go into **Executive Session** to discuss **Appointments with Tenure, UMASS Boston, UMASS Worcester** and **Awards of Tenure, UMASS Lowell, UMASS Worcester** and **Honorary Degrees, UMASS Amherst, UMASS Boston, UMASS Dartmouth, UMASS Lowell, UMASS Worcester**. He indicated that the Board would not reconvene in open session.

It was moved, seconded and

VOTED: To enter Executive Session for the purpose of considering **Appointments with Tenure, UMASS Boston, UMASS Worcester** and **Awards of Tenure, UMASS Lowell, UMASS Worcester** and **Honorary Degrees, UMASS Amherst, UMASS Boston, UMASS Dartmouth, UMASS Lowell, UMASS Worcester**.

Chair Karam voted for the motion as did Trustees Agganis, Bissonnette, Carey, Dubilo, Duquette, Fey, Flores, Foley, Giblin, Lewenberg, McCarthy, Mihos, Naughton and White

The time was 10:17 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE COMMITTEE OF THE WHOLE

Wednesday, February 3, 1999; 9:30 a.m.
Fisher Recital Hall, Durgin Hall
South Campus
University of Massachusetts
Lowell, Massachusetts

Committee Members Present: Chair Karam; Vice Chair Lewenberg; Trustees Berlandi, Bissonnette, Bogan, Court, Dolan, Dubilo, Fey, Foley, Hoff, Mihos, Mahoney, Molnar, Osterhaus and Tremblay

Committee Members Absent: Trustees Flores, Giblin, McCarthy and Naughton

University Administration: President Bulger; General Counsel O'Malley; Vice Presidents Botman, Julian, Lenhardt and Chmura; Chancellors Scott, Penney, Cressy, Hogan and Lazare; Associate Vice President Layton; Ms. Armstrong, Director of Institutional Research

Faculty Representatives: Professors O'Connor, Disch, Phelan and Cooke

Chair Karam convened the meeting at 9:40 a.m. and introduced the first agenda item, **1998 Alumni Survey.** Ms. Layton, Associate Vice President for Academic Affairs, began the presentation by stating that the survey focused on outcomes as well as results. The survey is positive and reaffirms the mission of the institution. Ms. Layton thanked the campus institutional directors, campus alumni directors, and Eric Heller and Steve Ellis from the Donahue Institute. She also thanked Kelli Armstrong, Director of Institutional Research for leading the charge and completing this project.

The survey was conducted by telephone to a random sample of 1900 alumni who received bachelor's degrees between 1960 and 1995. The majority of our alumni, two-thirds system-wide, were among the first in their families to attend college. Some of the other highlights included:

- the proportion of transfer students has steadily increased over the years from 11% in the 1960's to 36% in the 1990's;

- almost 90% are currently working either full-time or part-time and another 5% are retired;

- 63% are employed in Massachusetts; of particular interest was that 22% are employed in the field of education;

•96% alumni are satisfied with their career progress to date;

•almost half the alumni went on to graduate or professional school; of these three quarters received Master's degrees and 20% received degrees in law, medicine or other fields; alumni members choose UMASS for graduate studies by a ratio of 5 to 1 over other institutions.

Ms. Layton then introduced Ms. Armstrong to continue the presentation by reporting on the alumni's opinions:

•the vast majority of alumni rated UMASS excellent or good in the following categories: overall quality of academic programs, academic quality of students, cost of attendance and contribution to the Commonwealth, ranging from the high eighties up to the low nineties;

• 99% reported being satisfied or very satisfied with the quality of their education at UMASS; 96% reported being satisfied or very satisfied with how the University prepared them for a career; 96% were satisfied or very satisfied with their UMASS preparation for further education

Ms. Armstrong reported that the vast majority of alumni responded "probably or definitely yes" to reliving their college experience at the University.

Chair Karam thanked the President's office for a job well done.

The next item for discussion was **Policy Initiatives**. Chair Karam reported on the handbooks before the Board, which should be brought back to every Board meeting for updates. The members of the President's Office have gathered a selected list of initiatives related to the institution's mission and goals.

Vice President Botman noted that the Initiatives List does not include all the operational activities of the President's office.

Vice President Botman then walked the Board through the academic section of the Initiative List. She thanked Daphne Layton and Kelli Armstrong for their superior work on the Alumni Survey project.

Vice President Botman reported in length on the Student Transfer Initiative. A working group is being established to resolve the operational obstacles that exist for easy transfer between the campuses. Chair Karam asked that this item come before a standing committee.

At the end of her report she noted the Commercial Ventures and Intellectual Property Initiative. Vice President Chmura heads up this effort and works at solving issues that arise with the campuses. The CVIP policy helps entrepreneurial faculty to protect the value of University technology and expand research and development activities with industrial partners and to generate economic benefits for the Commonwealth.

President Bulger praised Vice President Chmura for his results in the CVIP area.

Vice President Lenhardt discussed the Financial Initiatives. He first noted that the Campus Restructuring and Reallocation activities continue to be monitored; the next steps will focus on re-definition of these terms and discussions are currently underway between the Administration and the Chancellors.

Vice President Lenhardt reported that the post-tenure review policies are being negotiated on all of the campuses except Worcester.

Trustee Foley inquired as to the status of Student Health, an item discussed last year. Vice President Lenhardt reported that Kate Harrington in Academic Affairs, has worked with Bruce White from the Treasurer's Office to obtain a better deal.

Chair Karam asked that status of the Five Targets for Administrative Redesign be considered in the near future.

Trustee Lewenberg asked that the Outreach Council be monitored and included in the Initiatives List.

Vice President Botman was asked about Merit Scholarships and will report back with this information.

There being no further business to come before the Committee, the meeting was adjourned at 11:10 a.m. The Board meeting would follow.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE COMMITTEE OF THE WHOLE

Tuesday, May 4, 1999; 4:00 p.m.
University of Massachusetts
Conference Dining Room
Old Westport Road
North Dartmouth, Massachusetts

Committee Members Present: Chair Karam; Vice Chair Lewenberg; Trustees Bogan, Court, Dolan, Flores, Giblin, Hoff, Molnar, Naughton, Osterhaus, Tremblay and White

Committee Members Absent: Trustees Berlandi, Bissonnette, Dubilo, Fey, Foley, Mahoney, McCarthy and Mihos

University Administration: President Bulger; General Counsel O'Malley; Vice Presidents Botman, Julian, Lenhardt and Chmura; Chancellors Scott, Penney, Cressy, Hogan and Lazare; Associate Vice President Layton

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor DiPippo, UMASS Dartmouth; Professor Carter, UMASS Lowell

Chair Karam convened the meeting at 4:10 p.m. and announced that Chancellor Cressy has requested Board members join him in the Library following the meeting for a walk through the UMASS Dartmouth student research projects.

Chair Karam then introduced the first item on the agenda, **University Performance Measurement System, 1999 Report on Annual Indicators**. Vice President Lenhardt reported that this is the second annual report on the System and was designed to measure the fundamental purpose of the University and if we are accomplishing our objectives. It is hoped that the results of this activity will continue to cycle back to the strategic plans of the campuses as well as the University. Some of the indicators are included on the Committee agendas; at the last meeting of the Committee on Administration, Finance and Audit there had been an extensive discussion of the financial target indicators that are included in this Report.

Vice President Botman reported that the Chancellors had been asked to focus on three indicators that are particularly significant for the mission of their campus. She also stressed the importance of accountability – to the Legislature, the key state holders and to the Board of Trustees.

Vice President Botman continued by noting the progress being made in terms of retention, research expenditures, SAT scores and GPA's.

She then thanked several staff members critical in producing the PMS Report, Steven O'Riordan, Daphne Layton and Kelli Armstrong. She also thanked the institutional research directors on all of the campuses.

Chair Karam then pointed out the purpose of meetings of the Committee of the Whole is to be able to discuss in length important topics facing the University and having the time to ask questions. He then called on Chancellor Scott to begin his report.

Chancellor Scott indicated his satisfaction with most of the indicators. Some of the Amherst information included:

- SAT scores have improved but is only one factor that the Amherst campus considers in admissions
- Concern for issues of access and diversity
- Ability to compete hiring qualified faculty
- Upgrading research facilities
- Change of culture on campus
- Student Endowment

President Bulger arrived having attended an event honoring the Amherst football team at the State House, and introduced Mr. Joseph Cofield, the new President and Chief Executive Officers of the University of Massachusetts Foundation. He announced that the House has begun debate on the budget. He then thanked the Trustee Governance Committee, Vice President Chmura and the Trustees' Office for their work on the Trustee Orientation Manual.

President Bulger expressed his gratitude to the out-going student Trustees and introduced Mr. Karl E. White, the newest member of the Board.

Chancellor Penney reported for the Boston campus; information included:

- Enrollment numbers are up including graduate students
- Application numbers are up
- Freshmen acceptance rate is more selective
- Retention rates are up
- Total grant and contract income has gone up
- Facilities need major amounts of work

Chancellor Cressy introduced Thomas Curry, current Dean of Engineering. Following the search for a new Provost, Thomas Curry has been selected for that position.

Chancellor Cressy reported for the Dartmouth campus:

- Freshman enrollment figures are up 26.7 percent
- SAT scores are continuing to move up
- Thanks Dean Curry for the rise in graduate students
- Students from outside the region tend to have better SAT scores than local schools

Chancellor Hogan reported for the Lowell campus:

- The intention to bring the financial cushion up between the peer average and the peer high and to do the same with debt service
- In the future the campus will take on another set of building projects
- Improvements to the one-year retention rate and six-year graduation rates
- The campus continue to admit students who are above average refining a technique to pick students based on SAT scores, GPA and class rank

Chair Karam made several observations regarding graduation rates. He suggested we may want to set targets for the cohorts enrolling next fall and that we have a responsibility to graduate students that enroll in this University.

President Bulger stressed the administration's need to address the subject in a more formal way with the Chancellors and if we need to reallocate resources in this area.

Chancellor Lazare reported on the U.S. News and World Report cover, "Best in the Region." Listed in alphabetical order: Harvard, MIT and UMASS Worcester. In primary care education out of 124 schools, the Medical School was ranked fifth.

Chancellor Lazare also reported that from 1994-1997 we had the highest rate of growth research in the nation of 124 schools. Last year we topped out because there is no more space or facilities. Everyone who applies to a medical school from Massachusetts applies to the University of Massachusetts Medical School. One problem is the demand on the clinical faculty; it has become a burden for faculty to teach. We need to create professorships for research and for education.

Chair Karam thanked the President's Office and the Chancellors for this report. This information is very important for the Board to hear and continue to discuss.

The next item was **Report on Student Evaluation Task Force**. Trustee Court reported that students at the Amherst campus have been advocating access to student evaluations so that students can utilize their information to make better decisions during course registration. The Task Force is comprised of both administrators and representatives from the faculty unions. It was agreed that there be some sort of central web site for information and access about courses that would be helpful both to students and faculty members. At this point the faculty union reps are no longer involved; the students and the administration has come up with a potential pilot program.

Trustee Court continued her report by indicating that about fifty percent of faculty members currently use the student evaluation form and for the pilot program we will be initially targeting those faculty members and asking them if they would be interested in placing their evaluations on the web site. Once the site is created it would be maintained by the administration. The initial goal was to have something up for this semester but next year is more realistic.

The main goal of student evaluations is to hold faculty accountable to students. The hope is that this program will become a major priority of the University.

Trustee Dolan added his support for the evaluation process and asked the Trustees and the Student Senate to revisit this issue.

The next item was the **Trustee Orientation Manual**. Chair Karam commended Trustee Giblin as Chair of the Trustee Governance Committee and asked for his comments on the Trustee Orientation Manual.

Trustee Giblin encouraged all the Trustees to read the Manual distributed at today's meeting. It includes information on what the job of a Trustee entails.

There being no further business to come before the Committee, the meeting was adjourned 6:10 p.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE COMMITTEE OF THE WHOLE

Wednesday, August 4, 1999; 9:15 a.m.
Chancellor's Conference Room - Quinn Administration Building
University of Massachusetts Boston
Boston, Massachusetts

Committee Members Present: Chair Karam; Vice Chair Lewenberg; Trustees Avakian, Berlandi, Bissonnette, Bogan, Carey, Dubilo, Fey, Flores, Foley, Giblin, Hoff, MacDonald, McCarthy, Mihos, Naughton, Rogers and White

Committee Members Absent: Trustees Agganis and Mahoney

University Administration: President Bulger; General Counsel O'Malley; Vice Presidents Botman, Julian, Lenhardt and Chmura; Chancellors Scott, Penney, Cressy, Hogan and Lazare

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor Langley, UMASS Dartmouth; Professor Carter, UMASS Lowell

Chair Karam convened the meeting at 9:30 a.m. President Bulger thanks out going Chancellor Cressy for his service to the University and welcomes Jean MacCormack as interim Chancellor.

Chair Karam then introduced the first item on the agenda, **Board of Trustees Retreat – Follow-Up**. Vice President Chmura discussed the many results of the June Board Retreat. Some of the highlights included:

1) Developing Distance Learning and expanded Forms of Corporate and Continuing Education
   - having UMASS accomplish its land-grant mission in the 21st century through expanded forms of corporate/continuing education and distance learning
   - investing University resources to help the campuses and the system develop needed capacity and maximize new sources of revenue
   - campus vs. system-wide approaches, potential areas of collaboration and areas of University strength on which to capitalize
   - establishment of a Trustee Oversight Committee
   - establish Two System-wide Task Forces: Distance Learning Task Force and Corporate/Continuing Ed Task Force
   - utilize the Donahue Institute to manage the process and joint effort
   - utilize national-caliber strategic consultant
   - use I-495 Center as learning opportunity

2) Analyzing Organizational and Operating Structures For Potential Efficiencies and Cost Savings
   - •efforts to date at UMASS have had some positive impacts, but further cost reductions of operations will be required in the future
   - •the introduction of new uses of technology and info systems through the PeopleSoft project is a critically important opportunity to improve University operations
   - •have UMASS engage in rigorous, business-like analyses similar to those done in recent years by UMass Memorial as a result of changes in the healthcare industry
   - •strengthening system-wide leadership and coordination on IT through the establishment of senior coordinator/architect of IT for the University
   - •establish Ad Hoc Trustee Task Force on University Staffing
   - •establish Ad Hoc Trustee Task Force on Intelligent Autonomy

In regards to the Distance Learning Project, Vice President Chmura reported that Spring/Summer of 2000 final reports and plans would be issued and reported back to the full Board to determine the next steps. The analysis of operating structures plans of action would be developed in the winter of 2000 with final reports and plans available in the spring of 2000.

Chair Karam asked that Trustees wishing to become members of these Ad Hoc Committee/Task Forces contact him.

The next item on the agenda was **Report on UMASS Amherst Health Services**. Chancellor Scott gave a presentation beginning with a history of Health Services on the Amherst campus which provides continuous medical care for all heath needs of the students. UHS is also recognized as a national model in health education and promotion and recognized for immunization compliance as mandated by the state.

Chancellor Scott continued by reporting that the Basic Health Plan covers most services provided at the Health Center such as Doctor's visits, urgent care and after-hours visits; it also funds health education and public health programs on campus. There have been many expense reductions such as staff reductions, closed inpatient unit, reduced risk relationship with Kaiser Permanente and reduced departmental hours of operation.

Some of the future plans and issues include the continuation of services for students while recognizing increasing costs associated with providing care, exploring the possible reduction of the fee, reviewing services provided at UHS and examining funding alternatives. The campus is exploring potential privatization of some of the services and recommendations are anticipated for December of this year.

Chancellor Scott then reported on the Supplemental Health Benefits Plan which is a university-sponsored plan for students needing health insurance to comply with state requirements of major medical coverage. The plan provides benefits for emergency care, hospitalizations and specialty services.

Some of the issues impacting supplemental financial statements include the funds embezzled by a claims administrator which cannot be recovered and accounting changes in FY98 leading to a deferred revenue of $620,000 removed. Chancellor Scott assured the Board that controls are now in place that will prevent future embezzlement.

Chancellor Scott listed some of the future plans including discounted arrangements with hospitals, assessing and implementing benefit changes and the cost of other program options.

Chair Karam commented that all health facilities are facing these issues and believes the Chancellor and the Amherst campus are accepting the challenges that lay ahead. The issue of subsidized health care needs to be studied further and brought back to the Board.

The next item on the agenda was **Report of the Ad Hoc Committee on Auxiliary Services**. Trustee Naughton, Chair of the Ad Hoc Committee began by giving a brief history of this Committee; at last year's Board Retreat there was discussion about different ways to increase and improve campus services. At that time we started by gathering information; it was decided it would make better sense to focus on the Amherst campus because it was the largest campus. A survey was done of our peers and found that parking, housing, and student health are universally provided by University employees but when you come to the bookstore and food services, it was much more of a mix.

Trustee Naughton continued by reporting that a vote was taken in December of last year by the Committee of the Whole to have the Amherst Chancellor explore the best method of achieving the highest quality of services. Requests for bids were sent out for consulting services to help the Amherst campus in determining whether services were being performed in the most efficient way. Bids were then awarded a month later to two organizations. During the period of March and April, consultants were on campus and information was gathered through surveys, focus groups and meetings. All this information was presented in a report and sent to the Auxiliary Services Committee.

Chancellor Scott had also set up an Executive Advisory Committee made up of various constituencies on campus who met periodically. A meeting of the Ad Hoc Committee was held to receive the results of the Report. Another meeting was held at the end of June with Union leadership where they made a presentation with respect to their alternative report.

The Ad Hoc Committee decided to move forward with a request to bid for the bookstore; this would help us determine whether or not it makes sense to continue to provide services through University employees or through a private contractor. A request for bid will be developed by early September.

The retail food services are a bit more complicated due to the infrastructure difficulties on campus. It was decided the best method was to ask for a request for information which is not quite the same as a request for bid. Trustee Naughton stressed that it is not the Board's intention or goal to privatize but to provide the most efficient services possible in the most productive way possible.

Trustee Avakian, as a student on the Amherst campus, was asked to speak on the subject of the Bookstore. Trustee Avakian pointed out that the Bookstore is used once or twice a semester; there may be a different perception on what the bookstore and book annex is. In terms of student services, the bookstore provides computer sales something a private bookstore may not do. He then stressed the need to keep an open mind about the possibilities for the future.

Chair Karam concluded the discussion by noting the Board's responsibilities to deliver services in the best possible way. There are no pre-conceived conclusions to this issue and the Board does not expect to complete this process until the year 2000.

There being no further business to come before the Committee, the meeting was adjourned 10:54 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE COMMITTEE OF THE WHOLE

Tuesday, November 9, 1999; 4:00 p.m.
Massachusetts Room
Mullins Center
University of Massachusetts
Amherst, Massachusetts

Committee Members Present: Chair Karam; Vice Chairs Fey and Giblin; Trustees Agganis, Avakian, Bissonnette, Carey, Dubilo, Duquette, Flores, Lewenberg, McCarthy, Mihos, Naughton, Rogers and White

Committee Members Absent: Trustees Bogan, Foley, Hoff, MacDonald and Mahoney

University Administration: President Bulger; General Counsel O'Malley; Vice Presidents Botman, Julian, Lenhardt and Chmura; Chancellors Scott, Penney, MacCormack, Hogan and Lazare

Faculty Representatives: Professor O'Connor, UMASS Amherst; Professor Disch, UMASS Boston; Professor Langley, UMASS Dartmouth; Professor Carter, UMASS Lowell

Chair Karam convened the meeting at 4:10 p.m.

President Bulger introduced the newest member of the Board, Bradley Duquette, from the Lowell campus. He then thanked Chair Karam for his work with the University's bond rating.

Chair Karam introduced the first item on the agenda: **Campus Financial Planning Update**. Vice President Lenhardt reported that following last December's meeting, the Chancellors met with the President and Chair Karam to discuss the next steps for financial planning. The Chancellors had been asked to prepare strategic financial planning plans maximizing revenue enhancement efforts. The Chancellors proceed to outline their plans of action related to financial planning.

Following the reports from Chancellors Scott, Penney, MacCormack, Hogan and Lazare, the Board agreed that the discussion on financial planning be placed on a future agenda of the Committee on Administration, Finance and Audit for further review.

Chair Karam reported that there was more work to be done with the Ad Hoc Committees on Intelligent Autonomy and University Staffing and that both Committee reports would return to this Committee in the near future.

Next was the report of the **Ad Hoc Committee on Distance Learning and Corporate Education**. Trustee White and Vice President Chmura gave a presentation on the subject. Some of the goals include: guiding the University through strategic investment and policy decisions, enabling UMASS to respond to changing dynamics, challenging University leaders to consider new opportunities, striking the balance between prudence and urgency, determining how to mesh new directions with traditional missions and leveraging the progress and innovation already achieved by the campuses and the system.

Trustee White reported that a system-wide task force has been organized and that PricewaterhouseCoopers has been hired to design a process for developing a work plan; Trustees, the President and Chancellors will be interviewed about their ideas.

Trustee White pointed out the key issues that need to be accomplished including the need to act quickly and deciding on a philosophy and investment strategy. Chair Karam thanked Trustee White for his report and looked forward to an update of the Committee's work.

There being no further business to come before the Committee, the meeting adjourned at 6:05 p.m.

Barbara F. DeVico
Barbara F. DeVico
Secretary to the Board of Trustees

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE TRUSTEE GOVERNANCE COMMITTEE

Friday, May 28, 1999; 8:30 a.m.
Marriott Hotel
2345 Commonwealth Avenue
Newton, Massachusetts

Committee Members Present: Chair Giblin; Trustees Bissonnette Fey, Flores, Karam and Mihos

Chair Giblin convened the meeting at 8:30 a.m.

The Committee members discussed how to proceed with contacting other Trustees for input before a final recommendation is forwarded to the Board regarding the 1999-2000 Slate of Board Officers.

There was also a general discussion on Board and Committee structure. Members of the Committee would contact members of the Board and solicit suggestions for next year's slate of officers. The Committee would have another meeting in Trustee Bissonnette's office on June 14th.

There being no further business to come before the Committee, the meeting was adjourned at 10:15 a.m.

William E. Giblin
Chair

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE TRUSTEE GOVERNANCE COMMITTEE

Monday, June 14, 1999; 8:00 a.m.
Offices of Foley, Hoag & Eliot
One Post Office Square
19th Floor
Boston, Massachusetts

Committee Members Present: Chair Giblin; Trustees Bissonnette Fey, and Flores,

Committee Member Absent: Trustee Mihos

Chair Giblin convened the meeting at 8:00 a.m.

The members reported on their discussion with individual Trustees concerning Board Officers. Following their discussion it was moved, seconded and

VOTED: To recommend that the Board take the following action:

To confirm and approve the Officers and Committee Chairs of the Board of Trustees set forth in Doc. T99-075, all to serve until the next annual meeting of the Board.

Chair	Robert S. Karam
Vice Chair	Grace K. Fey
Vice Chair	William E. Giblin
Chair, Academic Affairs, Student Affairs and Athletics	Diane E. Bissonnette
Vice Chair, Academic Affairs, Student Affairs and Athletics	Peter K. Lewenberg
Vice Chair, Academic Affairs, Student Affairs and Athletics	Karl E. White
Chair, Administration, Finance and Audit	Edward A. Dubilo
Vice Chair, Administration, Finance and Audit	John M. Naughton
Chair, Development	Charles J. Hoff
Vice Chair, Development	Robert M. Mahoney
Chair, Trustee Governance Committee	Christy P. Mihos
Secretary	Barbara F. DeVico

There being no further business to come before the Committee, the meeting was adjourned at 8:30 a.m.

William E. Giblin
Chair

UNIVERSITY OF MASSACHUSETTS

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MINUTES OF THE MEETING OF THE AD HOC COMMITTEE ON AUXILIARY SERVICES

Thursday, June 3, 1999; 8:30 a.m.
Higgins Room
Hoagland-Pincus Conference Center
Shrewsbury, Massachusetts

Committee Members Present: Chair Naughton; Trustees Dubilo, Karam, McCarthy and Mihos

Committee Member Absent: Trustee Flores

University Administration: Vice Presidents Julian and Lenhardt; General Counsel O'Malley; Chancellor Scott, Vice Chancellor Page

Chair Naughton convened the meeting at 8:40 a.m. Chancellor Scott gave a presentation of the Amherst campus' Retail Food and Bookstore Services. Included in the report were the following key issues: Lifestyle, Infrastructure, Labor and Culture.

Chancellor Scott informed the Committee of the consulting firms that had been hired: Campus Bookstore Consulting Corp, and The Cornyn Fasano Group. Their reports had been previously mailed to the members of the Committee. With regard to the Bookstore, the major findings included:

- Many positive aspects in current operation
- Personnel expenses need to be reduced as a percent of sales
- Consolidate University Store and Textbook Annex
- Improve Physical Appearance
- Improve Customer Service (Used textbook, Hours of operation, Length of lines, etc.)

Major findings with retail food included:

- Factors compromising success under any model
  - -Infrastructure
  - -Programming
  - -Physical Appearance
- Hours of operation
- Minimum Food Traffic
- Labor costs need to be reduced
- Some opportunities (Branding, Combining Dining Services and Retail Food)

Following Chancellor Scott's report the members of the Committee had a discussion about the best way to proceed. Some of their findings included:

--Chair Naughton stressed the need to continue the review before submitting changes to the full Board.

--Chair Naughton requested the bookstore review be completed before the time line Chancellor Scott has recommended.

--Chancellor Scott shall report progress to the Board and President on labor management discussions and assessment for success.

--Chair Karam stressed that this process was to improve the quality of service and not simply to save money.

--Chair Naughton asked for reports on bookstore and food services in two months time. He expressed a need to move forward and request RFP's for the bookstore.

--Trustee McCarthy stressed the need to discuss these issues with the unions and that every effort should be made to work with union members towards a fair solution.

--Chair Naughton agreed that the Committee would schedule a date with union leadership for their input on these issues. A progress report will be made to the Board at the August meeting.

There being no further business to come before the Committee, the meeting was adjourned at 11:35 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

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MINUTES OF THE MEETING OF THE AD HOC COMMITTEE ON AUXILIARY SERVICES

Wednesday, June 30, 1999; 8:30 a.m.
Higgins Room
Hoagland-Pincus Conference Center
Shrewsbury, Massachusetts

Committee Members Present: Chair Naughton; Trustees Dubilo, Flores, Karam, McCarthy and Mihos

University Administration: Vice Presidents Julian and Lenhardt; Attorney Bench, General Counsel's Office

UMASS Amherst: Vice Chancellor Page; Mr. Thomas Coish, Local 509, SEIU; Mr. James Plaza, U.S.A., MTA, Ms. Jane Giacobbe-Miller, Mass. Society of Professors; Mr. James Sha, Graduate Employee Organization, UAW Local 2322; Ms. Charlotte Coates, AFSCME, Local 1776; Mr. Francis Martin, Local AFSCME, Local 1776; Mr. Scott Cashman, SEIU Local 509

Chair Naughton convened the meeting at 8:40 a.m.

The Chair invited and received comments from the union representatives in attendance. The union representatives gave an extensive presentation on their alternative report.

Chair Naughton reported that a campus decision to proceed to go out to bid for services for the Amherst Bookstore and Food Services does not necessarily mean a vote to privatize. It is simply a vote to gather information and does not commit the University to privatize. There shall not be a vote to privatize for a minimum of six months from today.

It was then moved, seconded and

VOTED: To authorize the Amherst campus to request proposals for operation of the bookstore and annex and to supply information on food operations.

Trustee McCarthy opposed the motion.

Trustee Dubilo suggested a meeting of the Committee take place in three months or possibly before the November Board meeting.

There being no further business to come before the Committee, the meeting was adjourned at 11:35 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

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MINUTES OF THE MEETING OF THE AD HOC COMMITTEE AUXILIARY SERVICES

Thursday, October 7, 1999; 9:00 a.m.
Small Board Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Chair Naughton; Trustees Avakian, Dubilo, Flores, Karam and Mihos (all Committee members via-telephone conference)

Committee Member Absent: Trustee McCarthy

University Administration: Vice Presidents Julian and Lenhardt; General Counsel O'Malley

UMASS Amherst: Chancellor Scott; Vice Chancellor Page (via-telephone conference)

The meeting was convened the meeting at 9:03 a.m.

Vice Chancellor Page reported on the status for the request for bids. It is expected that the bids would be evaluated by December. A consultant will be hired to organize bids and analyze the information. Groups of faculty, student and staff will also be involved in the process. It is expected that the union groups will participate in the bidding process.

It was agreed that we are making progress and there will be more to report at the next meeting scheduled for October 27, 1999.

There being no further business to come before the Committee, the meeting was adjourned at 9:57 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

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MINUTES OF THE MEETING OF THE AD HOC COMMITTEE AUXILIARY SERVICES

Wednesday, October 27, 1999; 10:00 a.m.
Board Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Chair Naughton; Trustees Avakian, Dubilo, Karam and Mihos

Committee Member Absent: Trustee Flores and McCarthy

University Administration: President Bulger; Vice Presidents Julian and Lenhardt; General Counsel O'Malley

UMASS Amherst: Chancellor Scott; Vice Chancellor Page

The meeting was convened the meeting at 10:40 a.m.

Vice Chancellor Page reported on the Bidder's Conference. Members of the unions were in attendance holding picket signs and handing out flyers. Most of the Bidder's questions came from the union members. There has been an extension of the deadline; requests for bids have gone out.

President Bulger stressed the need to come to a final decision with auxiliary service issues.

Vice Chancellor Page also reported on wage rate determination. Information will be delivered to administration and finance today; a determination on this subject will be made.

Vice Chancellor Page also discussed Retail Food Services. There have three potential candidates expressing interest.

Chair Naughton then asked for a motion to enter into Executive Session to consider possible **Litigation**. The Committee will not reconvene in open session. In additions to the members of the Committee, I will ask President Bulger, Vice Presidents Lenhardt and Julian, General Counsel O'Malley, Chancellors Scott and Vice Chancellor Page to participate in the Session.

It was moved, seconded and

VOTED: To enter into Executive Session to consider possible **Litigation**.

Trustees Dubilo, Fey, Karam and Mihos voted for the motion as did Chair Naughton. The time was 11:15 a.m.

Barbara F. DeVico
Secretary to the Board of Trustees

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MINUTES OF THE MEETING OF THE AD HOC COMMITTEE ON INTELLIGENT AUTONOMY

Wednesday, September 22, 1999; 12:30 p.m.
Knapp Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Trustees Fey, Karam, Giblin and Mahoney

Committee Member Absent: Trustee Agganis

University Administration: Vice President Lenhardt

The meeting was convened the meeting at 1:00 p.m. This Committee was formed as a result of the last Trustee Retreat to study opportunities for academic and administrative collaboration and cooperation that will enhance the effectiveness of the University. The campuses were asked to identify areas of University activity that would provide opportunities for centralization of services.

Attached is the Report of the Committee on Intelligent Autonomy which will be discussed further at the next meeting of the Committee of the Whole before implementation.

There being no further business to come before the Committee the meeting was adjourned at 2:15 p.m.

Barbara F. DeVico
Secretary to the Board of Trustees

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FINAL REPORT OF THE AD HOC COMMITTEE ON INTELLIGENT AUTONOMY

The Trustee Committee on Intelligent Autonomy met and considered the views of all the University campuses. There was a considered discussion of the need for the University to maximize productivity and to develop lines of responsibility and accountability that assured that University management could function effectively. The Trustees and staff revisited the University's performance measurement system and the need to continually update the standards for performance, the time frame for reporting, and the performance standards themselves, in effect, to make this system of accountability and performance work. Accompanying such performance expectations should be an incentive compensation system for Chancellors that is directly tied to such campus performance.

Notwithstanding these expectations, the Committee concluded that two areas, information management and administration and finance, were most responsive to centralized planning, administration and management control. The concept of dual reporting, in effect, dotted and solid lines of accountability would be clarified whenever possible. For example, there is significant agreement in the University that the Vice Chancellors have a solid line reporting relationship to the Chancellors and an additional dotted line relationship to the Vice Presidents. These relationships are complementary to the Chancellors direct reporting relationship to the President and the Vice Presidents direct reporting relationship to the President. There are additionally certain services such as treasury, financial reporting, labor relations, CVIP, State relations etc. which will continue to be centrally managed and provide a service to the entire University.

More specifically, the Trustee Committee proposes that the University President's Office hire a Chief Information Officer who will have, as direct solid line reports, CIO's at each of the five University campuses. The campus CIO's must serve the needs of each campus and the Chancellor but ultimate questions of accountability and responsibility will rest with the University Chief Information Officer. Additionally the current reports of procurement, building construction and maintenance will report directly to the President's office procurement director and the President's Office Director of Buildings and Maintenance. These are areas of centralization which we believe are amenable to and responsive to a centralized management approach fully recognizing that the ultimate purpose is to provide better service to the campus communities.

This new approach will be seen as a five year experiment and will be assessed on an annual basis.

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MINUTES OF THE MEETING OF THE AD HOC COMMITTEE ON UNIVERSITY STAFFING

Wednesday, October 13, 1999; 11:30 a.m.
Board Room
One Beacon Street – 26th Floor
Boston, Massachusetts

Committee Members Present: Trustees Giblin, Hoff, Karam, Mahoney and White

Committee Member Absent: Trustee Agganis

University Administration: Vice President Julian

The meeting was convened at 11:35 am. This Committee was formed as a result of the last Trustee Retreat to better understand the current staffing situation of the University campuses. The campuses were asked to submit a complete listing of every part-time and full-time employee at their campus as well as provide an organization chart that is reflective the current organization of the campus.

The goal is to analyze current organization and opportunities for collaboration. Materials have been supplied by each campus.

Following analysis of the information provided, the Committee recommended

There being no further business to come before the Committee the meeting was adjourned at 12:30 p.m.

Susan Kelly

Assistant to the President